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Program Models are a synthesis of research and evaluation findings, operational experience, and expert opinion in a criminal justice topic area. Each report presents a series of programmatic options and anlayzes the advantages and disadvantages of each. The intent is to provide criminal justice administrators with the capability to make informed choices in planning, implementing, and improving efforts in a program area. The Models may also serve as the basis of testing and demonstration efforts.

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Program Models

Community Correctional Centers

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September 1980

National Institute of Justice
Harry M. Bratt, *Acting Director*

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TABLE OF CONTENTS

Section Page

LIST OF TABLES v

LIST OF FIGURES vii

PREFACE ix

ACKNOWLEDGEMENTS xi

I. COMMUNITY CORRECTIONAL CENTERS: INTRODUCTORY COMMENT 1

Corrections and the Criminal Justice System 1

The Role of the Community Correctional Center 2

Reintegration 3

Will Reintegration "Work"? 5

Community Correctional Centers and the Future 5

INTRODUCTION TO PART 1 7

II. THE DES MOINES COMMUNITY CORRECTIONS PROGRAM MODEL 11

Components of the Des Moines Program Model 12

The Des Moines Replication Sites 14

Des Moines, Iowa 15

Orange County (Orlando) Florida 25

St. Louis County (Duluth) Minnesota 34

Clark County (Vancouver) Washington 42

The Des Moines Program Model: Strengths and Weaknesses 48

III. MONTGOMERY COUNTY (MARYLAND) WORK RELEASE/ PRE-RELEASE PROGRAM MODEL 55

The Montgomery County Program Model 56

Montgomery County Program Model: Strengths and Weaknesses 64

Section Page

IV. THE PRIVATELY OPERATED PROGRAM MODEL 69
  Mahoning County Residential Treatment Center 70
  Talbert House, Cincinnati, Ohio 78
  Magdala Foundation, St. Louis, Missouri . . 85
  The Privately Operated Program Model: Strengths and Weaknesses 98

INTRODUCTION TO PART 2 103

V. PLANNING THE COMMUNITY CORRECTIONAL CENTER: MAJOR DECISIONS AND PLANNING ACTIVITIES . . . 105
  Planning the Community Correctional Center 106
  Key Planning Decisions 108
  Organization, Administration and Staffing . 109
  Legal Status of Clients 111
  Admission, Program Participation and Termination 111

VI. CENTER ORGANIZATION AND MANAGEMENT: SOME GUIDELINES 113
  Managing the Environment 114
  The Governing Authority 114
  Legal Considerations 114
  Fiscal Considerations 116
  Public Relations and Information-Sharing . . 117
  Interagency Cooperation 118
  Management Theory and the Community Correctional Center 121

VII. CENTER PERSONNEL 129
  General Considerations 129
  Recruitment, Selection and Deployment of Personnel 131
  Citizen Involvement 132
  Ex-Offenders and Paraprofessionals 133
  Professional and Supervisory Personnel . . . 134

Section | Page

In-Service Personnel Programs 134
Tenure, Performance Appraisal and Compensation 135
Staff Development 136

VIII. PROGRAMS 139
General Program Management 140
Managing Program Participation 141
Intake 141
Orientation 143
Classification and Individual Programming . . 143
Program Components 145
Supervision 145
Counseling 147
Employment and Training 148
Medical 149
Finances and Use of Leisure Time 150
Special Issues: Confidentiality, Cooperation, Arrest, Physical Force, and Searches 151
Program Termination 152

IX. FACILITIES AND FACILITIES MANAGEMENT 153
Facilities 153
Facilities Management 156

X. SUPPORT SERVICES 161
Operational Planning 161
Management Information Systems 162
Case Records Management 163
Fiscal Management 164

XI. EVALUATION 167
What is Evaluation? 167
Criteria and Standards 170
Types of Standards and Guidelines 171

Section Page

Research Methodologies and Strategies 174
Data Collection 176
Summary 176

AFTERWORD 179
FOOTNOTES 183
ANNOTATED BIBLIOGRAPHY 215

READEX FICHE

LIST OF TABLES

		Page
TABLE II-1	Characteristics of Community Correctional Centers in Des Moines and Three Replication Sites--Orlando, Florida; Duluth, Minnesota; Vancouver, Washington	17
TABLE II-2	Des Moines, Iowa Site Fifth Judicial District Department of Correctional Services Workload by Program Component: 1976-1977	23
TABLE II-3	Des Moines, Iowa Site Annual Budget Detail for the Year Ending June 30, 1979. Fifth Judicial District, Department of Correctional Services	26
TABLE II-4	Des Moines, Iowa Site Costs Per Day and Per Term for the Iowa Department of Court Services, Polk County Jail, and the Bureau of Adult Correction Services	27
TABLE II-5	Des Moines, Iowa Site Comparison of Cost of the Iowa Department of Correctional Services with Projected Costs for Handling Its Clients Through Other Programs	28
TABLE II-6	Orlando, Florida Replication Workload Statistics Orange County Office of Court Alternatives	36
TABLE II-7	Orlando, Florida Replication Annual Operating Costs of Program Components Orange County Office of Court Alternatives	36
TABLE II-8	Duluth, Minnesota Replication Workload by Major Program Component	43
TABLE II-9	Duluth, Minnesota Replication Means of Financing Arrowhead Regional Corrections System, 1978	44
TABLE II-10	Vancouver, Washington Replication Workload by Program Component, Clark County Department of Community-Based Corrections	50
TABLE II-11	Vancouver, Washington Replication Calendar 1978 Budget-Revenue Sources, Clark County Department of Community-Based Corrections	51

Section Page

Research Methodologies and Strategies 174

Data Collection 176

Summary 176

AFTERWORD 179

FOOTNOTES 183

ANNOTATED BIBLIOGRAPHY 215

LIST OF TABLES

		Page
TABLE II-1	Characteristics of Community Correctional Centers in Des Moines and Three Replication Sites--Orlando, Florida; Duluth, Minnesota; Vancouver, Washington	17
TABLE II-2	Des Moines, Iowa Site Fifth Judicial District Department of Correctional Services Workload by Program Component: 1976-1977	23
TABLE II-3	Des Moines, Iowa Site Annual Budget Detail for the Year Ending June 30, 1979. Fifth Judicial District, Department of Correctional Services	26
TABLE II-4	Des Moines, Iowa Site Costs Per Day and Per Term for the Iowa Department of Court Services, Polk County Jail, and the Bureau of Adult Correction Services	27
TABLE II-5	Des Moines, Iowa Site Comparison of Cost of the Iowa Department of Correctional Services with Projected Costs for Handling Its Clients Through Other Programs	28
TABLE II-6	Orlando, Florida Replication Workload Statistics Orange County Office of Court Alternatives	36
TABLE II-7	Orlando, Florida Replication Annual Operating Costs of Program Components Orange County Office of Court Alternatives	36
TABLE II-8	Duluth, Minnesota Replication Workload by Major Program Component	43
TABLE II-9	Duluth, Minnesota Replication Means of Financing Arrowhead Regional Corrections System, 1978	44
TABLE II-10	Vancouver, Washington Replication Workload by Program Component, Clark County Department of Community-Based Corrections	50
TABLE II-11	Vancouver, Washington Replication Calendar 1978 Budget-Revenue Sources, Clark County Department of Community-Based Corrections	51

LIST OF TABLES, CONTINUED

		Page
TABLE II-12	Vancouver, Washington Replication 1977 Costs by Program Component, Clark County Department of Community-Based Corrections	52
TABLE III-1	Pre-Release Center Program Model: Montgomery County Work Release/Pre-Release Program	57
TABLE III-2	Results of ABT Telephone Survey of Work Release/Pre-Release Projects	65
TABLE IV-1	The Private Community Correctional Center Program Model: Youngstown, Ohio; Cincinnati, Ohio; St. Louis, Missouri	71
TABLE IV-2	Youngstown, Ohio Mahoning County Residential Treatment Center: 1977 Admissions, Daily Population, Length of Stay, by Program Component	79
TABLE IV-3	Youngstown, Ohio Mahoning County Residential Treatment Center: FY 1978-79. Approximate Costs by Program Component	79
TABLE IV-4	Youngstown, Ohio Mahoning County Residential Treatment Center: FY 1978-79. Funding Sources and Amounts	80
TABLE IV-5	Cincinnati, Ohio Talbert House: 1977 Workload by Program Component	86
TABLE IV-6	Cincinnati, Ohio Talbert House: 1977 Budget, by Program Component	87
TABLE IV-7	St. Louis, Missouri, Magdala Foundation: 1977 Workload, by Residence	93
TABLE IV-8	St. Louis, Missouri, Magdala Foundation: 1977 Residential Program Performance Objectives and Results	94
TABLE IV-9	St. Louis, Missouri, Magdala Foundation: 1977 Program Results Indicators	95
TABLE IV-10	St. Louis, Missouri, Magdala Foundation: FY 1977-78 Operating Budget	97

LIST OF FIGURES

		Page
FIGURE II-1	Des Moines, Iowa Site Organization of Fifth Judicial District Correctional Services Department	20
FIGURE II-2	Orlando, Florida Replication Organization of the Ninth Judicial District of Court Alternatives	31
FIGURE II-3	Duluth, Minnesota Replication Organization of the Arrowhead Regional Corrections System	39
FIGURE II-4	Duluth, Minnesota Replication Organization of the Northeast Regional Corrections Center	40
FIGURE II-5	Vancouver, Washington Replication Organization of the Clark County Department of Community Based Corrections	47
FIGURE III-1	Montgomery County Program Model Organizational Chart for the Pre-Release Center	60
FIGURE IV-1	Youngstown, Ohio Mahoning County Residential Treatment Center, Administrative Organization	76
FIGURE IV-2	Cincinnati, Ohio Administrative Organization Talbert House, Inc.	83
FIGURE IV-3	St. Louis, Missouri Magdala Foundation Link Pin Organization of Accountability and Communications	90

PREFACE

From the beginning of the development of this Program Model, it was clear that the term "community correctional center" is applied to a wide variety of community-based correctional activities--and that many of these activities have little more in common than this shared title. Since the concept of the "community correctional center" is generic the authors were forced to identify with some precision their definition of the term. That definition--which suggests that a center must be an alternative to traditional correctional activities at the local level--is supplemented by ten components included within the definition.

With a wide variety of often loosely defined community correctional centers in existence, the selection of centers for site visits that would form the basis for program models was difficult. The logistics and some fiscal constraints set the broad parameters for the number and location of visits and site assessments, but more important was an early judgment that three potential program models existed. A project designated "exemplary" by the National Institute of Law Enforcement and Criminal Justice in Des Moines and six replication sites (in California, Florida, Louisiana, Minnesota, Utah, and Washington) became a starting point: Des Moines and five of the six replication sites were visited.

Selection of the pre-release/work release center in Montgomery County, Maryland, also an Exemplary Project, was a natural, for the Montgomery County center represented a combination of two well-known correctional programs, the halfway house and work release. But it also was clear that there is significant private agency interest in community correctional centers and that three such private centers (Magdala Foundation Center, St. Louis; Mahoning Residential Treatment Center, Youngstown, Ohio; and, Talbert House, Cincinnati) recently accredited by the Commission on Accreditation for Corrections would be appropriate for program model development. The early judgment that these Program Models (Des Moines and its replications, the pre-release/work release center, and the private center) would circumscribe the enormous diversity of programs and facilities labelled "community correctional centers" generally was sustained.

Organization of the Report

This Program Model on community correctional centers consists of eleven chapters. The first chapter begins with the observation that the community correctional center is rooted philosophically, organizationally, and pragmatically in the larger systems of criminal justice and corrections. The chapter briefly describes the justice system and focuses upon its philosophical legacy of three "R's"--revenge, restraint, and reform. It then turns to reintegration--the newest "R" and a somewhat logical successor to rehabilitation and a companion to resocialization. These historical and philosophical origins are important since much of the conflict and divisiveness in criminal justice today derives from divergent philosophical orientations as to what should be done, by whom, and to whom.

Part 1 of the text consists of Chaters II through IV which set forth three major Program Model options. Chapter II is directed toward Des Moines and its replications. The Des Moines program and its six replications serve as a sentencing alternative to jail, provide services to pretrial detainees, generate information for use by local courts in sentencing decisions, and supervise offenders on probation in the community. Chapter.III targets on the work release/ pre-release center in Montgomery County, Maryland. The Montgomery County center is markedly different from Des Moines for it focuses primarily upon the sentenced offender and represents a fusion of the halfway house and work release. Chapter IV examines three private community correctional centers--the Mahoning Residential Treatment Center in Youngstown, Ohio. Talbert House in Cincinnati, Ohio, and the Magdala Foundation Center in St. Louis, Missouri.

Part 2 of the text contains seven chapters. Chapter V identifies some issues that significantly affect community correctional programming which ought to be addressed by the local community prior to entering into community correctional activities. The chapter focuses upon such planning issues as establishing the need for community corrections, defining the types of clients to be served, the programs and services to be offered, the type and location of facilities, developing policies and budgets, and staffing the correctional organization. Chapter V, with its focus upon planning, serves as the transition from Program Model options to more specific "how to" commentary on administration, organization and management (Chapter VI); personnel (Chapter VII); programs (Chapter VIII); facilities and facilities management (Chapter IX); support services (Chapter X); and evaluation (Chapter XI).

Collectively, then, Part 1 of the text suggests three basic Program Models. Part 2 describes generally how the correctional center should be operated, regardless of Program Model type. Again, the purpose of the text is to provide the correctional administrator and those charged with decisions about criminal justice with an enhanced capability to make informed choices in planning, implementing, and improving community correctional centers.

ACKNOWLEDGEMENTS

A number of individuals made significant contributions to this text. And while we identify those contributors, it is important to note that such acknowledgement cannot be construed as representing either an individual or collective endorsement of that which is written here. The authors alone are responsible for content.

The impact of Lou Biondi and Frank Shults of the National Institute of Justice must be noted first for these two project monitors--at different times in the life of the project--had the formidable task of keeping us on target and in compliance with regulation and deadline. They exercised their considerable insights into community corrections; Lou during the start up phase and Frank as we wound down our efforts. Their contributions were of form and substance--sound advice, review of draft materials, sincere concern for the final product.

A project advisory committee initially set the course for this study, and we are indebted to them: Lenore Johnson (Lake County, Minnesota), Norm Chamberlain (Seattle), Harry Allen (San Jose) and Dan Glaser (Los Angeles). The direction they set was true but compass and azmuth were provided by fourteen individuals directly and operationally involved in community correctional programs at the sites which we visited:

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CHAPTER I

COMMUNITY CORRECTIONAL CENTERS: INTRODUCTORY COMMENT

The community correctional center is a relatively recent addition to American correctional theory and practice. Both its history and its current environment are rooted in the larger system of criminal justice. Consider the processes involved:

Once an arrest is made the man or woman charged with a crime faces a process that consists of a series of criminal justice decisions. It may be a brief episode; the arrest was in error, or it may be decided not to proceed with prosecution. More often it is a much longer process in which police, court, and corrections officials try to make decisions that will serve the best interests of society and of the offender, too.

These processes take place within a complex set of institutional arrangements, activities, and processes collectively referred to as the criminal justice system. Corrections is one component of this system, and it carries major responsibility for assuring that once returned to the community, the offender is more capable and more willing to obey the law.

Corrections and the Criminal Justice System

The term "corrections" encompasses the many agencies, programs, and processes that have legal authority to provide custody or supervision of individuals convicted of criminal acts by the courts. Corrections includes prisons administered by States and the Federal government for the confinement of felons, as well as the network of institutions serving serious juvenile offenders. It includes jails and other less secure facilities operated by county and city governments for the confinement of misdemeanants (and some felons), as well as reformatories, detention and foster homes, juvenile halls, camps, and ranches and similar institutions that house youthful and juvenile offenders throughout the country. Corrections also includes probation and parole agencies at Federal, State, and county levels which supervise offenders living in the community. At least in some jurisdictions, corrections also includes recently developed and still emerging programs oriented toward diversion; restitution; community service; and work, education, and training release.

Two other criminal justice "subsystems," law enforcement and judicial process, may be distinguished operationally from corrections, and they are intimately related. They are tied together by the processing of accused and convicted persons passing through the many decision points in the system.

Each component in the system employs certain characteristic strategies. The police, for example, generally are concerned with deterrence and incapacitation; corrections, with rehabilitation and reintegration. Incapacitation by removal from the community on the one hand, and reintegration into the community on the other, reflect quite different perspectives and generate considerable debate and conflict between and among law enforcement and between the courts and corrections agencies. Such conflicts produce ambivalence not only among the citizenry, but also within those legislative bodies that must make policy decisions and allocate limited fiscal resources.

The criminal justice system is complicated in still other respects: In actual fact, there are many systems of criminal justice in the United States and each level of government--indeed, each jurisdiction--has its own way of doing things. These many systems and subsystems, all established to enforce the standards of conduct believed necessary for the protection of society, represent a collectivity of thousands of law enforcement agencies, courts, prosecution and defense agencies, probation and parole departments, paroling authorities, correctional institutions, and related community-based organizations.

In many ways, the criminal justice system seems to act as a "nonsystem." In fact, it has become popular to speak and write about the "nonsystem" of criminal justice, but the systemic aspects of criminal justice simply cannot be ignored. It is important to recognize that the criminal justice system does exist, even if it is fragmented organizationally, incorporates conflicting philosophies and strategies; even if its activities are not systematic, orderly, or well integrated. Fragmented though they may be and with their many imperfections, criminal justice agencies are all intimately related. The challenge lies in finding new ways to solve these systemic problems.

This program model is designed to partially address this challenge. It provides guidance which can promote system integration and improve coordination, as well as increase correctional efficiency and effectiveness. Throughout the chapters that follow, crime is viewed not only as a problem to be solved, but a condition which can be better managed. The locus of activity is in the community where crime occurs and where it must ultimately be controlled. The emphasis is on community-based corrections, and the role of community correctional centers.

The Role of the Community Correctional Center

In this program model, we shall describe the community correctional center, a combination of facilities and services designed to begin the processes of reintegration as soon as possible and to help the offender carry out whatever is started under the center's auspices. The application of the concept to the criminal justice system and the lives of the offenders will be described as it has been seen in a selection of communities in several parts of the country. Three differing types will be considered in detail. Different communities will need different services; the models on display here will indicate the range but will not exhaust the possibilities. Thoughtful planners who know their communities will adapt structure and services as needed.

What is a community correctional center? Any definition must be primarily operational. A wide variety of programs from residential containment indistinguishable from an ordinary jail, to non-secure residential halfway houses, are to be found under the banner of community corrections centers. Obviously, so loose a definition is valueless.

The definition used by the Corrections Task Force of the National Advisory Commission on Criminal Justice Standards and Goals sets limits that begin to bring meaning to the term:

A community correctional center is "a relatively open institution located in the neighborhood and using community resources to provide most or all of the services required by offenders. The degree of openness varies with offender types, and use of services varies with availability and offender needs. Such institutions are used for multiple purposes--detention, service delivery, holding, and prerelease."[1]

Since 1973, when the Corrections Task Force did its work, there has been an evolution in thinking which emphasizes that a community correctional center is composed of one or more community correctional facilities and community correctional programs; that is, it is the combination of community correctional facilities and programs that shapes the concept of a community correctional center. In addition, there is the notion of improved coordination and integration of services. Also implicit in this definition is the intent that the reintegration of the offender should not be deferred to the end of his term of control. It should begin as early as possible.

Reintegration

Use of the term reintegration introduces a slippery concept to the analysis, one that is seldom defined clearly. For the purposes of this report, reintegration refers to the process of preparing both community and offender for the latter's return as a productive and accepted citizen. Instead of changing his nature by intimidation or by psychological treatment, the emphasis is on creating the circumstances around him that will enable him to lead a satisfying and law-abiding life.

In the reintegration model, corrections must bring about change in the offender, within his family, among his peers, and in the institutions within which he must function successfully--that is, in his social environment.

An example might be to place the offender in a community correctional facility, to make arrangements for the offender to enroll in vocational training classes that will constitute an apprenticeship in a skilled trade, providing for union affiliation as an apprentice, and finding him employment to sustain him during the apprenticeship. The development of such a program will require a considerable degree of effort on the part of correctional personnel, and some continued contacts while it is under way, to be sure that wrinkles are smoothed out, difficulties are resolved, and needed program changes are put into effect. In many ways it would be simpler to train the offender in a penal institution, and necessarily many offenders get their training in prison. But when an offender can be trained in the community his reintegration is taking place while the training is under way; it is not a future process, to be complicated by his stigma as an "ex-con," with all the problems of identity and rejection that are associated with that status.

Reintegration does not equate to a specific or single program. Indeed, the panorama of reintegration is diverse and wide. It includes such now-traditional community-based correctional efforts as halfway house, work release, and prerelease center. Reintegration also includes recent innovations of mediation and arbitration as solutions to problems that bring people into the criminal justice system and restitution and community service as either alternatives to or adjuncts of more familiar programs. Review of current criminal justice and correctional literature and commentary by academicians, administrators, practitioners, and researchers reveal that reintegration--as a philosophy being translated into program--is dynamic and changing.

The reader cannot assume that the reintegration model now is the accepted philosophical basis for American corrections. Although the community-based orientation of reintegration increasingly is accepted, it must be understood that corrections--at least in practice--is a mixture of revenge, restraint, reform and rehabilitation, and reintegration. The correctional environment contains "mixed signals" by virtue of its sometimes conflicting philosophical origins; the correctional administrator and those charged with decision-making in corrections must understand their dynamic environment.

Reintegration is a recent arrival on the correctional stage and the community correctional center--with its focus on the offender in his community--is an early application of the reintegration concept to the real world.

The community correctional center should not be seen merely as a facility but also a staging area from which the services necessary for reintegration will be initiated and fostered. It is not to be seen as a pleasant and desirable experience, to be sought after by anyone with problems in adjusting to his or her environment. Usually it will contain residential facilities for offenders who can be managed under minimum custody conditions. Some residents will work in work-release programs; others will be occupied in various work assignments within the center. The probation staff may be headquartered at the center; caseloads will be partly drawn from residents and partly from probationers who have never been in custody. The center's residential facilities may be put to appropriate use as stopping points for offenders whose programs have fallen through or who have developed problems that need attention if a troubled situation is not going to get worse, perhaps leading to a new crime. It may serve pre-trial prisoners, persons serving sentences, and persons newly released from jail or prison.

With a well organized community corrections center, reintegration can begin shortly after a suspect is booked by the police. An immediate decision can be made in many cases as to whether the newly arrested person can be released on his own recognizance. If so, reintegration is under way. For a good many others, that is too permissive a status; but a conditional release under supervision is an acceptable alternative. Conditional release may or may not require the defendant to return to the community correctional facility each evening.

Some arrested persons will be held under custodial conditions ordinarily thought to be unsuitable for correctional centers. They are not eligible for correctional services until found guilty, and assistance rendered to them must be at their request and not at the initiative of correctional staff. However, many of these persons will have practical problems in need of solution and anxieties to be allayed. Their only recourse in most communities will be the assigned center staff.

Will Reintegration "Work"?

It has been said that this is the age of penological pessimism. The message that rehabilitative programs will not work has been spread far and wide, and this notion has given many officials a license to stop trying. Whether the message was correctly delivered or not is beside the point. The aim of the community correctional center is to do what can be done to reintegrate offenders. That mission calls for formulating as careful a program as possible to enable each individual to find a legitimate place in the community.

What the mass of our offenders require is a good deal more than they can possibly get from the conventional resources available, and more, sometimes, than they can get from community correctional centers in the present state of our knowledge. Corrections necessarily deals with people who have been badly damaged by life. Their embroilment with the law has damaged them further, and their prospects may seem bleak indeed. But when an offender's needs are understood and help is given to meet them, those prospects can be brighter than they seemed. This is the role of the community correctional center.

Community Correctional Centers and the Future

Who knows how much more can be done with these hopeful facilities? So far, the indications of success are good--as will be seen in these pages. As the nation gains confidence from experience with their use, it is not unreasonable to expect that they can increasingly become depots for reintegration of pre-trial prisoners, for probationers, for parolees, and prisoners on furlough or work or study release. With experimentation and imagination, it is not fanciful to predict that some of the country's prison over-crowding can be drained off by assignment to these centers. It is often claimed that a very large percentage of the offenders in any prison do not need to be confined for any purpose. That claim warrants the expectation that the immense human and economic costs of incarceration can be abated by the cheaper and much more effective methods of reintegration. The community correctional center is one vehicle by which that objective may be reached. In this Program Model we shall show what has been done with good leadership in fortunate communities with the thought that what has been done in these communities can also be done elsewhere.

INTRODUCTION TO PART 1

The community correctional center represents an alternative to traditional correctional activities at the local level--probation and confinement in jail. It serves both pre- and post-adjudication clients from local, state, and federal jurisdictions. Center programs and facilities should be open to both men and women and, to the extent permitted by local conditions, to "out-clients" as well as clients in residence.

As envisioned here, the community correctional center represents more than an administrative merger of probation and jail services. Programs and facilities are designed to meet identified needs; services are provided to persons under criminal justice control in the community regardless of their legal status; services are delivered both by center staff and through contractual and other arrangements with community agencies; arrangements are made to encourage coordination of public and private agencies and cooperation among criminal justice agencies; supervision is provided within the facility and in the community; and some evaluation is undertaken to assess the relevance of these many activities.

COMPONENTS OF THE COMMUNITY CORRECTIONAL CENTER

Components of the community correctional center include: facilities, programs, identification of client needs, service delivery, eligibility, coordination, supervision, organizational structure, evaluation/assessment, and a community orientation. Each of these is "localized" or subject to additions, deletions, or modifications to meet specific community correctional needs, to adapt to the particular character of the local criminal justice process, and to fit within available local resources.

Facilities. The community correctional center should have a structured residential component consisting of one or more facilities. If there is only one facility, it should have separate residential areas for non-transient offenders and for persons in pre-adjudication phases of criminal justice processing. If more than one facility exists, separate residential housing is preferable. The emphasis is on the requirement for controlled residency during some part of the correctional effort to provide both stability for the offender and a starting point for programming his phased reintegration into the community. A jail may meet the facility requirement, but the "center" part of the jail should be separate from the remainder.

Programs. The center should have two or more programs (examples: counseling, job placement) and residents should be supervised both within and outside the center. The requirement for at least two different programs is based upon considerable evidence suggesting that single "treatments" of crime and delinquency are notoriously unsuccessful in producing constructive change. Most offenders have multi-dimensional problems that cannot be dealt with by means of a single treatment modality. The requirement for supervision is based on the notion that the justice system has an obligation to maximize the protection of the community while treating the offender.

Identification of Client Needs. The identification of needs of current and projected clientele and the development of resources to meet those needs by service delivery from both agency and community are essential tasks of the center. The range of needs and services that may be required include, among others, supervision in the community, shelter, food, clothing, emergency financial assistance, transportation, medical care, and mental health, vocational, employment, educational, and personal counseling.

Delivery of Services. The services required by center clientele may best be provided by a combination of direct center delivery of service and by center referral to community resources. The proper mix of direct services and those provided by referral or contractual arrangements will be determined by efficiency/effectiveness considerations and the realities of available resources.[1]

Eligibility. Individuals in various stages of justice system processing should have access to the center. The needs of individuals vary, but patterns of need are not arranged conveniently by legal categories. The center should strive to meet the needs of those in pre-adjudication as well as post-adjudication classifications. Among the latter are those released from local, county, state, or federal institutions. Although legal categorizations of clientele should not be ignored, the development of separate centers, facilities, or programs for legally defined groups of offenders on the basis of that criterion alone seems a wasteful use of limited resources.

Coordination of Efforts. Coordination of the efforts of criminal justice and community agencies is essential. The center must be "proactive" in this coordinating role to insure that the comprehensive programming so necessary to community corrections is achieved. Collaboration between public and private sectors and their interface with the justice system may be facilitated by the use of advisory committees or scheduled meetings among interested parties and by stressing the benefits of interdependent efforts.

Supervision of Individuals. Supervision of persons assigned to the center should be within both the community and the residential facility. Supervision, surveillance, or monitoring of client activities and movements is necessary both to protect the community and to adequately serve the offender. Supervision within the facility and in the community should be coordinated and responsibilities for active supervision should rest with a single agency.

Organizational Arrangements. The organizational linkages of the center to the criminal justice and correctional system, as well as to the community, must be clearly articulated. A variety of models for such linkages are possible.[2] A recent program model publication addresses this subject area directly.

Evaluation and Assessment. The center should have a set of organizational goals and objectives, regularly reviewed and updated as necessary. Both client and center performance should be assessed against explicit criteria and these assessments should serve as the basis for programmed change.

Community Orientation. This orientation implies far more than a set of correctional activities which take place within a community; it represents more than the existence of an alternative to jail or probation. Both philosophical and pragmatic, a community orientation emphasizes reintegration into normal community living, not dependence on a correctional center located in the community. Center programs and facilities have one overriding purpose--to insure that the community becomes the source of social, psychological, and economic support. The community orientation rejects the notion that something is "done to" the offender, maintaining instead that the individual and his community must accommodate one another and that this relationship is the bridge to law-abiding behavior.

PROGRAM MODELS

A variety of community-based correctional activities across the United States consists of those same components that collectively define the community correctional center. Many reflect a specific focus such as offender type (drug, misdemeanant) or legal status (pretrial release, parole); others are community extensions of correctional institutions (work/education release). The program models presented here were selected for their generic qualities, as well as the distinguishing characteristics that illustrate some of the varied possibilities inherent in the concept of the community correctional center. Data from site visits to ten centers, information obtained from the literature and authors' experiences and contacts were synthesized to serve as [illegible]oundation for the development of three program models:

- The Des Moines (Iowa) Community-Based Corrections Model, serving primarily the local judicial system as an alternative to traditional probation and/or confinement in a local correctional institution (Chapter II);
- The Montgomery County (Maryland) Pre-Release Center Model, designed to assist in the reintegration into the community of offenders who are completing terms in local, county, or state institutions (Chapter III);
- The Private Community Correctional Center Model, accredited and administered by a private non-profit agency (Chapter IV).

Des Moines provides the earliest model of a community correctional center and was the first "Exemplary Project" designated by LEAA. The Des Moines Center subsequently served as a model for replication at six sites. Three of these replication sites are reviewed for the present project as planned variations on the Des Moines theme. The work-release/pre-release program in Montgomery County, also designated "exemplary" by LEAA, represents the second model. And the third is illustrated by three private centers recently accredited by the Commission on Accreditation for Corrections.

These sites have much in common and much that is unique, the latter in part as a result of localization or adaptation to local needs, structures, and processes. The program models described in Chapters II, III, and IV are supplemented by descriptions of operating centers to illustrate variations and commonalities in the ten components identified above and the ways in which localization of the basic models has occurred. Chapter V identifies the major decisions involved in implementing the community correctional center concept and options available to local decision-makers.

CHAPTER II

THE DES MOINES COMMUNITY CORRECTIONS PROGRAM MODEL

Much has been written about community-based corrections in Des Moines.[1] Awarded exemplary project status by LEAA's National Institute of Law Enforcement and Criminal Justice (NILECJ), the program was described by the Institute's director as follows:

> "In criminal justice, as in other areas, the more economic approach is sometimes also the most effective. The Des Moines Community-Based Corrections program has achieved substantial economies while improving the delivery of correctional services. The result benefits both the offender and the community: evaluation of the program shows improved treatment for offenders and better use of community resources.
>
> The Des Moines approach offers a promising alternative to the more costly, traditional emphasis on incarceration before and after trial. By coordinating and using four tested approaches--pretrial screening and release, supervised pretrial release, presentence investigation and probation, and a community-based corrections facility as an alternative to jail, the Des Moines model has logged an impressive record. Its success and cost-effectiveness earned it the National Institute's "exemplary" label. The Des Moines program has also been the basis of a national demonstration effort sponsored by the Institute in six other communities."[2]

The outstanding feature of the Des Moines program was that it offered a coordinated range of treatment and control services. The four-part program, which served defendants and convicted offenders from pretrial through post-conviction stages, included:

- pretrial release for carefully screened offenders judged to pose little or no risk to the community;
- pretrial supervised release for defendants who require some supervision to safeguard the community;
- presentence investigations to assist the court in sentencing decisions; and specially tailored programs for probationers;
- a community corrections facility to house convicted offenders under minimum-security conditions.

These activities are not in themselves unique--in one form and location or another, each has existed for many years. What is significant is the manner in which these four activities have been coordinated in Des Moines under a single administrative entity, the Department of Correctional Services. Talk of coordination is everywhere, but in Des Moines it became reality in January 1971 by resolution of the Polk County Board of Supervisors. Of the four components, two existed before the centralization effort; two were added subsequently. Evaluated individually and collectively on a variety of criteria, they have demonstrated impressive success. Their success, however, is not simply the result of individual efforts by the four components; coordination, collaboration, and effective interfacing have played an important part.[3]

Components of the Des Moines Program Model

The original Des Moines Program Model had four components:

1. Pretrial Release

The Des Moines community corrections program is based on the recognition that the majority of persons who arrive at the last stage of criminal justice processing--corrections--come from the uneducated, unskilled, and least affluent segments of the population. The first obstacle such persons face arises immediately following arrest. A defendant who is poor typically remains in jail prior to trial, despite the presumption of innocence, because he is unable to raise money for bond or bail. Because he is jailed prior to trial, he is less able to participate in preparing his own defense and is, therefore, more likely to be convicted. If convicted, he is more likely to be incarcerated because he has not had an opportunity to demonstrate a post-arrest ability to behave responsibly. In addition, pretrial incarceration may cause the defendant to lose his job, placing severe financial strains on his family.

The pretrial release component of the Des Moines program is modeled on the Manhattan Bail Reform Project of the Vera Foundation. It is a typical release-on-recognizance (ROR) program. The staff of the pretrial release component is housed in the Municipal Court Building, the site of the city jail and the Des Moines Police Department. Every defendant booked into the jail is interviewed immediately after processing. (Persons charged with simple intoxication are excluded, principally because their cases are disposed of almost immediately). A pretrial release staff member interviews the defendant to determine if he meets the criteria for release on his own recognizance. The release criteria are objective rather than subjective, and a point system is used to gauge the degree to which the defendant has stable roots in the community. Points are earned for length of residence in a particular location, stability of employment, and the strength of family ties. Points are lost for frequent and recent prior convictions and for a history of failure to appear for trial. If a defendant scores a total of five points, the staff recommends to the court that he be released on his own recognizance.

2. Supervised Release

For defendants who do not qualify for ROR, the options in most communities typically are few. If a defendant is unable to secure a bond or post bail, he usually must remain in jail pending trial. In Des Moines, there is another option. The supervised release component, perhaps the most innovative element of the Des Moines program, involves a form of "pretrial probation." One of the explicit goals of the supervised release component, in fact, is to assist selected defendants in qualifying for probation as a final disposition in the event of conviction.

Defendants who fail to qualify for release on their own recognizance, but who might be qualified for supervised release, are referred to supervised release screening staff by ROR interviewers. A member of the supervised release staff then interviews the defendant. Unlike the ROR interview, the supervised release interview is open-ended and the decision regarding qualification is based on subjective criteria.

Since this component is directed toward preparing releasees for probation supervision, the emphasis is on client disabilities and the task is to assist the clients in solving specific and practical problems. This effort begins during the selection process. The disabilities that mitigate against his receiving probation are identified and an assessment of staff ability to help the defendant is made. If the defendant is unemployed, for example, he is less likely to be placed on probation. Helping the defendant to find a job thus becomes part of his "treatment" program. If a contributing factor to unemployment is an inadequate education, remedial education also may be sought.

If the supervised release staff believes that a defendant's disabilities can be overcome in a structured program of supervision, counseling, and treatment, and if the interviewer feels that the defendant is willing to participate in such supervision, the defendant is recommended for release to the custody of supervised release staff. If the court approves the release, the defendant is assigned a counselor; he then receives psychological, vocational, and educational evaluation and a mutually acceptable treatment plan is developed. Treatment typically involves job development assistance, participation in vocational and educational programs, marital and psychological counseling, or alcohol or drug abuse treatment.

3. Probation/Presentence Investigation

Although the probation component is the most "traditional" element in the Des Moines program, the consolidation of correctional programs in the Department of Correctional Services has made probation an important link in the chain of services provided defendants and convicted offenders. Two basic functions are performed in the probation component: presentence investigation and probation supervision. As in other jurisdictions, the purpose of the presentence investigation is to provide data to aid the court in determining an appropriate sentence for the convicted offender and to assist institutional and/or community supervision staff in developing an appropriate correctional plan. In Des Moines, presentence investigations typically are conducted within a period of two to four weeks. A report is submitted to the court presenting objective and attitudinal data about the offender and recommendations regarding the most appropriate of six basic sentencing options in the particular case: (1) deferred sentence; (2) suspended sentence; (3) probation; (4) commitment to a community correctional facility; (5) commitment to county jail; or (6) commitment to state prison.

In the case of offenders assigned to probation supervision, a probation officer develops a probation contract with the client. Typically, this contract is based on the client's earlier treatment plan (if he participated in supervised release prior to conviction) and emphasizes steps the client can take to resolve practical problems.

4. Community Correctional Facility

The fourth component of the Des Moines program is a community-based correctional facility for men (as well as a small women's facility). The men's facility is a 50-bed, non-secure institution in a renovated barracks at Fort Des Moines, a partially de-activated Army base at the edge of the Des Moines city limits. Although Fort Des Moines occasionally is used for offenders on the way out of prison, it is not a conventional halfway house. By statute, it is a jail and used primarily to house sentenced offenders for the duration of their sentence.

As in the supervised release and probation components, the emphasis at Fort Des Moines is on a problem-solving approach tailored to the needs of each client. Based on a low client/counselor ratio (approximately one staff person for every two clients), the program features intensive interaction between clients and staff. After a client enters the facility, he is evaluated, a treatment plan is developed, and a performance contract is signed. Since each Fort Des Moines client is expected to work while committed to the facility, the staff includes a three-man job development unit.

The Fort Des Moines facility emphasizes helping the client within the community setting. Clients work at jobs in the community and are referred to community agencies for educational, vocational, counseling, health care, and other services. By increasing their employment or educational achievement, clients become qualified for rewards, including overnight or weekend furloughs.

Although physical security devices at the Fort are minimal (there are no bars or fences), both the number of staff present and the use of informal observation techniques diminish security problems. Local police and sheriff's departments receive a weekly list of Fort Des Moines residents indicating where each resident is supposed to be at specified hours of each day. This information is available to patrol officers who may see a Fort Des Moines inmate in the community. Other program procedures also fulfill a control function. Because of the location of Fort Des Moines and the inadequacy of local public transportation, residents are transported to and from work in the facility's own vans.

The Des Moines Replication Sites

To determine whether the Des Moines project could be successfully implemented in other communities, the NILECJ awarded $250,000 to each of six replication sites. This effort was designed to implement the four program components in different geographical and political environments. Evaluation and technical assistance components also were integrated into these awards.[4] This replication effort was not a mandate for "duplication." It was recognized that correctional needs, justice processes, and political structures would dictate some modifications. At a minimum, however, each site was required to have all four of the Des Moines program components. The replication sites included Clark County, Washington; San Mateo County, California; Salt Lake County, Utah; St. Louis County (Duluth), Minnesota; East Baton Rouge Parish, Louisiana; and Orange County (Orlando), Florida.

The replications in Orange County, St. Louis County, and Clark County were selected for discussion here because they are successful replications of the Des Moines program model and illustrate how it has been adapted to a variety of different local settings.[5]

Key features of the program model, as it operated in late 1978 in Des Moines and in the Orange County, St. Louis County and Clark County replication sites, are outlined in Table 1. Each site is further described on the following pages in terms of eight dimensions: the setting; services provided; goals of the program; administrative organization; program operations; referral sources and admissions policies; workload indicators; and program financing.

DES MOINES, IOWA

Setting

The Fifth Judicial District Department of Correctional Services serves 16 counties in central Iowa. Des Moines, in Polk County, is the administrative "hub" of the program. Roughly 300,000 of the 500,000 people in the 16-county region live in the Des Moines area.

Services

The Des Moines project offers a variety of pretrial and post-adjudication services for adults: pretrial release, supervised release, presentence investigation and misdemeanor probation services, residential services, parole support, job placement, alcohol services, and counseling. A well-staffed volunteer program provides additional services and helps link clients to se[illegible]n the community.

Goals

The Des Moines program was initia[illegible]y citiz[illegible] who sought to improve the quality of justice, reduce jail overcrowding, and provide more cost-effective corrections services. A program evaluation completed in February 1974 by the National Council on Crime and Delinquency[6] identified four measurable program objectives:

- Immediate Objective: To protect the community from additional crime during the pretrial or corrections period. (This objective is referred to as "community safety" in the evaluation.)
- Enabling Objective: To utilize community resources to the maximum extent possible. (This objective is referred to as "resource utilization.")

- Intermediate Objective: To integrate the offender into society. (This objective is referred to as "social effectiveness.")

- Ultimate Objective: To assure that the accused appears for trial (pretrial objectives) and to reduce future criminal behavior (post-trial objective). (This objective is referred to as "correctional effectiveness" for the post-trial component.)

Administration

The Fifth Judicial District Department of Correctional Services is a multi-county executive branch corrections agency. An executive board governs the department. This board is composed of: one member of the board of supervisors of each participating county; one member from each project advisory committee within the judicial district (appointed by the director of the judicial district department); and appointees equal to the number of authorized board members from project advisory committees (appointed by the judges of the judicial district).[7]

Significantly, on motion of any county supervisor, weighted votes of the board are taken. (Supervisors' votes are weighted in proportion to the populations of their respective counties; votes of members appointed from a project advisory committee and judicially appointed members are not weighted.)

The director of the judicial district department is employed by the board. In turn, the board receives funds from the State Division of Adult Corrections under an annual contractual arrangement.

The program is staffed by 17 managers, 17 clerical staff, and 60 line staff (1978). The organization chart appears in Figure 1.

Program Operations

The program is structured around four primary components: release on recognizance (ROR), supervised release, presentence investigation/probation, and two community correctional facilities, one for men and one for women.

The historical development of the Des Moines program provides a good example of the evolution of a community corrections center. The first program component, release on recognizance was initiated in Des Moines, in 1964, following a local newspaper editor's visit to New York City. A chance visit to the Vera Foundation exposed him to the Manhattan Bail Reform Project, initiated by Herb Sturz, a former journalist, to reduce unnecessary pretrail detention of New York City prisoners. Back in Des Moines, the editor, with assistance from local citizens, sought to establish an ROR program modeled after the Manhattan Project. Their goals were to alleviate overcrowded conditions in the Polk County Jail, to improve the quality of justice by increasing the number of persons released before trial, and, in the process, save the county money.

TABLE

CHARACTERISTICS OF COMMUNITY CORRECTIONAL CENTERS IN DES MOINES AND THREE RE

Location Characteristics (7)	Des Moines, Iowa	Orlando,
Name	Fifth Judicial District Department of Correctional Services	Office of Alternati County, F
Community Served	Des Moines, Iowa and 16 counties in central Iowa; 300,000 of the 505,000 people in the 16 county area live in or near Des Moines	Orange Co Florida; sons, 120 live in t itan area
Sponsoring and/or Operating Agency	16 county Board of Supervisors/Fifth Judicial District Dept. of Correctional Services	(Orange C of Court County Co
Services Offered	Pre-Trial Release, Probation, Pre-Sentence Invest., Residential, Parole Support, Special Projects, Job Placement, Alcohol Safety, Volunteer Counseling	Pre-Trial Supervise County Pr Residenti Pre-Trial Job Recru Placement
Annual Operating Budget	$1,866,312(2)	$401,000
Sources of Funds	State Purchase of Services $1,825,620 State Parole Support 6,012 Federal -0- Client Fees 20,000 Other Local Contributions 14,680	Federal & State County Program I

II-1

EPLICATION SITES--ORLANDO, FLORIDA: DULUTH, MINNESOTA; VANCOUVER, WASHINGTON

Florida	Duluth, Minnesota	Vancouver, Washington
f Court ives, Orange Florida	Arrowhead Regional Corrections	Clark County Community Based Corrections
ounty (Orlando) 435,000 per- 0,000 of whom the metropol- a	6 N.E. counties in Minnesota (15,317 sq. miles) serving 292,593 people. About 100,000 live in the Duluth area of St. Louis County. (1)	Clark County, Washington approximately 175,000 population
County/Office Alternatives) ommission	Six county Board of Commissioners/Arrowhead Regional Corrections Board	Clark County Department of Community Based Corrections
l Release, ed Release, robation, ial Center, l Diversion, uiting & t, Counseling	Pre-Trial Release, Supervised Release, Intensive Probation, Residential Center, Volunteers in Corrections, Education Programs, Counseling	Pre-Trial Release, Supervised Pre-Trial Release, Misdemeanant Probation, Residential Services, Drug Services, Alternative Community Services, Counseling
(3)	$3,881,966 (4)	$490,565
& 12% 58% Income 30%	State Dept. of Corrections Subsidy; 6 Participating Counties, Per diem from other counties, Federal Bureau of Prisons Farm Income	Dist. Ct. Funds $212,527 State Dept. of Corrections 113,279 TASC 111,642 State Crime Agency 22,644 Clark County 1,132 Nat'l Inst. Drug 13,430 Comp. Employ. & Training Act 11,911 State Grant in Aid-Drug 4,000

CHARACTERISTICS OF COMMUNITY CORRECTIONAL CENTERS IN DES MOINES AND THREE

Location / Characteristics 7	Des Moines, Iowa	Or
Major Program Components	. Release on Recognizance . Supervised Release . Pre-Sentence Inv. . Probation Supervision . Men's Residence . Women's Residence	. . . .
Workload, by Program Component	Program — Persons[5] ROR (released) 1941 Sup. ROR (released) 435 PSI (assigned) 944 Probation (new cases) 917 Men: Residence (new cases) 163	No Pr Co Re Pr Su
Cost by Program Component	Pre-Trial Release $259,830 Probation 398,224 Pre-Sentence Inv. 253,198 Residential 949,048 Parole Support 6,012	Pr Co Re Pr (2
Admission Criteria	Adults only. Virtually no exceptions	Ad "a er co
Referral Sources	ROR & Supervised ROR clients are automatically interviewed at Jail Admission; courts refer cases for PSI.	RO cl in CU ie
Who Makes the Intake Decisions?	Judges admit to all programs but always after Staff Rx. State work release committee refers cases to women's residence; director accepts.	D re cu

TABLE II-1 (CONTINUED)

E REPLICATION SITES -- ORLANDO, FLORIDA; DULUTH, MINNESOTA; VANCOUVER, WASHINGTON

rlando, Florida	Duluth, Minnesota	Vancouver, Washington
Pre-Trial Release County Probation Residential Center Pre-Trial Diversion Supervised Release	. Pre-Trial Release . Citation . Supervised ROR Release . Misdemeanant Probation . Residential Center	. Release on Recognizance . Supervised Release . Misdemeanant Probation . Residential Services
o. Annual Admissions re-Trial Release 1400 ounty Probation 900 esidential Center 130 re-Trial Diversion 450 upervised Release 75	# Annual Admits P.T. Rel/Cit. Unknown Sup. Release (Released) 772 Misd. Probation 498 Residential Center 262	Persons ROR (released) 2761 Supervised (Rel) 98 Misd. Probation (cases accepted) 473 Res. Services (admits) 22
re-Trial Release ounty Prob.(Misd) 93,000 esidential Ctr. 228,000 re-Trial Div. 80,000 2)	Cost information not available.	ROR $55,000 Sup.ROR 25,000 Misd. Probation 110,000 Res. Services (2 years) 259,033
dults Only. Crimes "against persons" gen-erally excluded from onsideration.	Adults & Juveniles except those with sentences of more than 5 yrs.	Adults Only. Sex & violent offenders excluded from residential services
OR & P.T. Div. lients are automatically interviewed at the jail; t. refer cases to res-idential center & Prob.	ROR by jailor or judge; court makes all other placement; Bureau of Prisons	98% by local courts, 2% from state parole.
irector has right to reject placements by courts or jail staff.	District or County Courts	Judges, Parole w/Staff Recommendations

CHARACTERISTICS OF COMMUNITY CORRECTIONAL CENTERS IN DES MOINES AN

Location Characteristics 7	Des Moines, Iowa
Facilities	Men's Residence; a leased 54 bed, mininum security former military barracks at Ft. Des Moines Women's residence: a leased 30 bed min. security facility in a residential area
Personnel, by type	Supervisory & Admin. 17 Clerical 17 Line Staff (Prob. Officers, residential, PSI workers, etc. 60 TOTAL 94

NOTES:

1) 1972 Population Estimate

2) Purchase of Service Agreement FY Ending 6/30/79

3) Does not include Program Administration, office spa

4) Includes services to juveniles

5) Persons served, is data for the entire judicial dis

6) $157,000 of this is program income

7) See narrative description for dates, cost & detail,

TABLE II-1 (CONTINUED)

D THREE REPLICATION SITES--ORLANDO, FLORIDA; DULUTH, MINNESOTA; VANCOUVER, WASHINGTON

Orlando, Florida	Duluth, Minnesota	Vancouver, Washington
Men's Res.: 50 Bed min. sec. converted motel in commercial area; leased	Men's Res: 60 Bed Min. Sec. 3,000 acre working farm jointly owned by St. Louis, Lake Cook and Carlton Counties	Davis Court, 18 Bed Diagnostic Residence Lincoln Arms, 33 Bed Residence (Planned)
35 Staff	Court & Field Sers. 72 Support Services 26 Juvenile Center 29 Men's Residential Center 42 Proj. Care 4 Volunteer Program 9 182	Central Administration 7 ROR 4 Supervised Release 1 Misdemeanant Probation 4 Residential Services 8 Other Programs 5.5 TOTAL 29.5

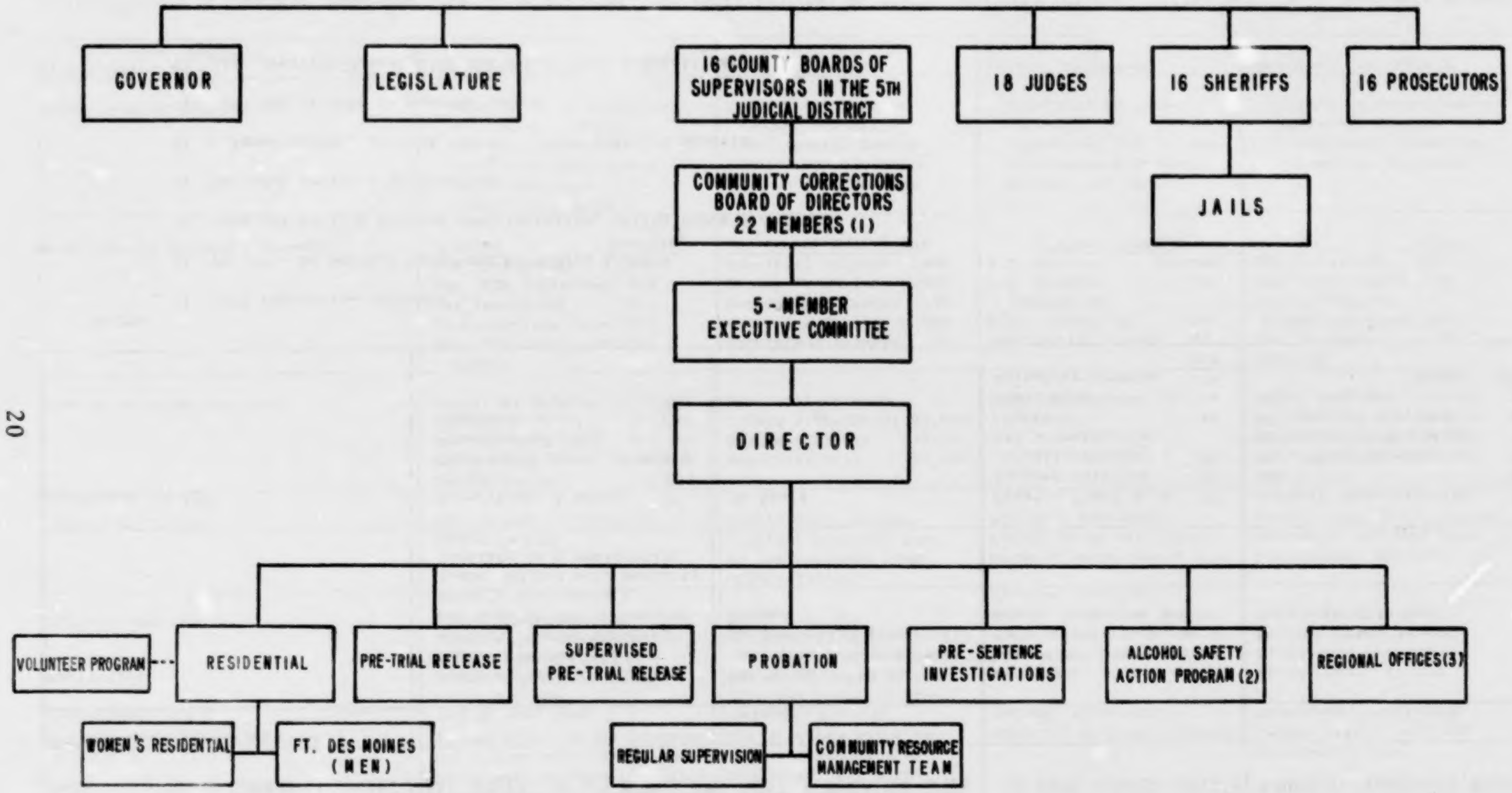
ace & overhead

strict

, etc.

FIGURE II-1

DES MOINES, IOWA SITE
ORGANIZATION OF FIFTH JUDICIAL DISTRICT CORRECTIONAL SERVICES DEPARTMENT
(1978)


GOVERNOR
LEGISLATURE
16 COUNTY BOARDS OF SUPERVISORS IN THE 5TH JUDICIAL DISTRICT
18 JUDGES
16 SHERIFFS
16 PROSECUTORS
JAILS
COMMUNITY CORRECTIONS BOARD OF DIRECTORS 22 MEMBERS (1)
5-MEMBER EXECUTIVE COMMITTEE
DIRECTOR
VOLUNTEER PROGRAM
RESIDENTIAL
PRE-TRIAL RELEASE
SUPERVISED PRE-TRIAL RELEASE
PROBATION
PRE-SENTENCE INVESTIGATIONS
ALCOHOL SAFETY ACTION PROGRAM (2)
REGIONAL OFFICES (3)
WOMEN'S RESIDENTIAL
FT. DES MOINES (MEN)
REGULAR SUPERVISION
COMMUNITY RESOURCE MANAGEMENT TEAM

(1) POLK COUNTY ACTS AS FISCAL AGENT

(2) ASAP IN POLK COUNTY ONLY

(3) REGIONAL OFFICE OPERATES THESE SAME SERVICES IN OTHER 15 COUNTIES

> "In 96% of all cases the court has accepted staff recommendations and over 60% of all persons charged with criminal offenses in Polk County are released under this program prior to trial. Over 7,000 persons have been released, and only 2.4% have failed to appear for trial. No services are offered to people released in this program, except that staff reminds each releasee of his trial time and date three days prior to the trial. Since release is accomplished quickly, generally within a matter of hours, arrested persons who are employed, but with marginal incomes, lose little or no time on the job and, most importantly, do not lose their jobs."[8]

Initially, the ROR program was funded and administered by the Hawley Welfare Foundation, a local philanthropic organization. By 1966, after the ROR program had been thoroughly tested, the City of Des Moines and Polk County appropriated funds for the project, which continued to be operated by the Hawley Foundation.

Supervised release was added to the ROR program in February 1970. A survey of persons who did not qualify for ROR had shown that many came from the Des Moines Model Cities neighborhood. The Des Moines Model Cities program thus agreed to finance a supervised release component and matching funds were secured from LEAA. The supervised release component, originally called "release with service," focused services on individuals who could not qualify for regular ROR. The new program made it possible to release persons on recognizance before trial if they consented to a program of close supervision and other special conditions. The National Council on Crime and Delinquency administered the program during its first year.[9]

In January 1971, the Polk County Board created the Polk County Department of Court Services, and a large LEAA discretionary grant provided funds to establish misdemeanor probation and presentence investigation services. The ROR and supervised release components, also located within the new department, were expanded to serve all residents of Polk County. The community correctional facility was opened at Fort Des Moines in July 1971 with assistance from the same grant.

> "...the Fort Des Moines Residential Corrections Facility... is a non-secure institution which is housed in a renovated barracks at Fort Des Moines, just inside the Des Moines' city limits. There are no bars, no security screening, no security glass, no outside walls or fences, no physical control of any kind. The residents are nearly all felons... who were considered unsuitable for probation and who would normally be committed to state operated maximum security institutions. Since it began receiving residents, from one-third to one-half of the residents have been heroin addicts who have been convicted of other offenses... Offenders committed to this institution have been convicted of offenses ranging from larceny to assault with intent to commit murder...

> the Fort Des Moines Facility is not a half-way house... (it) is not a stopping off place between maximum security confinement and full release to the community on parole. It is instead a jail by statute and it is for convicted offenders who are committed to serve sentences."[10]

This filled out the original complement of four programs: (1) pretrial release; (2) supervised pretrial release; (3) misdemeanor probation and presentence investigation; and (4) a residential alternative to jail.

In 1972, with funds provided by the Iowa State Crime Commission, the Polk County operation was extended throughout the 16-county Judicial District and the program became known as the Fifth Judicial District Department of Court Services. Regional offices were opened in Creston and Chariton, Iowa. In 1973 state legislation was passed to encourage other judicial districts to adopt the Des Moines approach. The legislature appropriated $650,000 to help other counties form multi-county, local government corrections departments along judicial district boundaries. By 1977, the department had changed its name again, this time to conform to new legislation mandating the four principal corrections components in each judicial district in the state.[11] The new department became known as the Fifth Judicial District Department of Correctional Services.

The Fifth Judicial District program has continued to evolve and expand. A 30-bed minimum-security facility for women was opened in 1973 in a residential area of Des Moines. The building is leased from a private owner. In addition to the new Alcohol Safety Action program, which provides services to persons arrested for alcohol-connected vehicle code violations, there is a strong volunteer component and a Community Resource Management Team[12] which provides specialized probation services to misdemeanants and felons. Outlying counties are served by a network of regional offices, but the center of the action remains in Polk County.

Referral Sources and Admissions Policy

Most referrals are generated locally. ROR and supervised release clients are automatically interviewed upon admission to jail. The courts generate referrals for presentence investigations and placements at the residential facilities. State parolees and state work release cases often are referred to the women's residence. There also are occasional Bureau of Prison placements at the residential facilities. Most clients are on suspended sentence as a condition of probation. The residential program is backed up by a traditional jail system: if the clients do not adjust well at the residential facilities, they are transferred to the jail. In theory, there are no restrictions on clientele, although certain types of cases are rarely accepted (e.g., those with a history of violence, arsonists, severely mentally retarded, psychotic, etc.).

Workload

Workload figures for each program component for the years 1976 and 1977 appear in Table 2, and are the latest available. The ROR program released 1,817 individuals in Polk County and another 124

Table II-2
Des Moines, Iowa Site

Fifth Judicial District
Department of Correctional Services
Workload by Program Component: 1976-1977*

Polk County

	76 June 30	77 June 30
ROR (Released)	1344	1817
RWS (Released)	346	299
PSI (Assigned)	518	632
Probation (New Cases)	748	608
Fort Des Moines (New Cases)	201	163
Women's Facility (New Cases)	62	55

Region
(15 other counties)

	76 June 30	77 June 30
ROR (Released)	123	124
RWS (Released)	142	136
PSI (Assigned)	325	312
Probation (New Cases)	235	309

*Source: Program Administrator via on-site data collection. When combined, the 1977 data from Polk County and the Region total the workload figures which appear in Table 1.

individuals in the other 15 counties. For supervised releases these figures were 299 and 136, respectively. The number of presentence investigations totaled 632 in Polk County, while another 312 were conducted in the remaining areas of the district. A total of 608 new probation cases were added from Polk County; another 309 from the remaining counties in the judicial district. Note the residential program exists only in Polk County.

Financing

For the year ending June 30, 1979, the basic budget of the department is $1,825,620. The Department receives most of its funds from the Iowa Division of Adult Corrections through a purchase-of-services agreement. Sources of support include: state purchase-of-services funds from the Division of Corrections; per-diem expenses for women parolees and women on pre-release from the state corrections system; client fees; and county general funds. Table 3 sets forth sources of funds and the costs of each program component.

In 1974, an evaluation of the Polk County operation identified several important aspects of program costs.[13] These are reproduced in Table 4.[14] Although the data are now five years old, it is clear that the Des Moines program components compare favorably with other correctional alternatives.

- ROR and Supervised Release

  "...the per-day costs for both pre-trial release and supervised release are far lower than the per-day cost of detaining a person in the Polk County jail prior to trial...the expense of operating the pre-trial release program over an average term is virtually negligible. Further, though the length of time spent in supervised release is more than double the length of time spent in jail by jail detainees, the per-term costs of supervised release is still lower than the per-term cost of pre-trial detention in the Polk County jail."[15]

- Probation

  "...the per-day cost of the probation component...is virturally identical to the per-day cost of the state-operated parole and probation unit. However, because of the shorter average period of assignment to the Des Moines probation component, its per-term cost is significantly lower than the per-term cost of the state parole and probation unit."[16]

- Residential Facility

  "...the community corrections facility is more expensive than the state pentitentiary and the men's reformatory on a per-day basis, but it is substantially less expensive on a per-term basis."[17]

What additional funds would have been expended by the county and state corrections system were there no Des Moines program? Evidence suggests that populations of probation, parole, and institutional programs at both state and local levels would have increased, with accompanying increases in correctional system costs.

> "The 1974 evaluation estimated that, if the four Des Moines components had not been available, the number of clients assigned to the state parole and probation unit would have been increased by 515 clients per day, population of the Polk County jail would have been increased by 56 inmates per day, and the population of all other men's correctional institutions in the state would have been increased by 133 inmates per day."[18]

As shown in Table 5, the Des Moines project saved county and state corrections systems an estimated $454,229 in 1973. At current costs, these savings would be even more impressive.

But there is a caution which needs to be understood by jurisdictions who consider implementing this program model and expect similar results. A research report prepared by the State of Iowa's Bureau of Correctional Evaluation cautions program administrators to insure that those entering residential facilities are persons who otherwise would have been sent to prison or jail.[19] A facility like Fort Des Moines must not be allowed to admit persons who would otherwise be on probation or in pre-trial programs. This would be an inappropriate and expensive use of the community correctional center's residential facility. Note the results reported for For Des Moines depended upon successfully applying sound client selection criteria.

ORANGE COUNTY (ORLANDO) FLORIDA

Setting

The Orlando metropolitan area, which contains about 120,000 persons, serves as the nucleus of Orange County (pop. 435,000). Twelve smaller municipalities cluster on all sides. As one moves away from Orlando, driving through these smaller municipalities, the landscape gives way to more rural unincorporated county areas. Disney World, located in Orlando, has had a massive effect on the economy and population of the area.

> "In 1970, 3,061 cases were processed through the courts in Orange County, Florida. By 1974, local officials estimated 8,200 cases might be processed...hence, the tourist industry had a critical impact on the Orange County criminal justice system, perhaps doubling the number of cases that might otherwise be processed."[20]

Services

The Orange County project sought to replicate the Des Moines program, providing ROR, supervised release, misdemeanor probation, and residential services. It also offers other services within this framework. Pretrial diversion; a jail diagnostic center; counseling, vocational planning and placement services; and alcohol and drug abuse rehabilitation are knitted together within a coordinated county

Table II-3
Des Moines, Iowa Site

Annual Budget Detail For The Year Ending June 30, 1979
Fifth Judicial District, Department of Correctional Services*

Source of Funds	
State - Purchase of Service	$1,825,620.00
State - Parole Support	6,012.00
Federal	
Client Fees	20,000.00
Other Local Income	14,680.00
TOTAL	$1,866,312.00
Services To Be Provided	
Pre-Trial Release	259,830.00
Probation	398,224.00
Pre-Sentence Investigation	253,198.00
Residential	949,048.00
Parole Support	6,012.00
Special Projects	
TOTAL	$1,866,312.00

*Source: State Purchase-of-Services Agreement.

Table II-4
Des Moines, Iowa Site

Costs Per Day and Per Term for the Iowa Department of Court Services, Polk County Jail, and the Bureau of Adult Correction Services**

	1973 Program Cost	No. of Client Days	Cost Per Day	Average Length Of Term (days)	Cost Per Term
Department of Court Services					
Pretrial Release	$ 58,377.92	134,137	$ .44	51.7	$ 23
Pretrial Services	152,911.34	31,595	4.84	99.3	481
Probation	158,073.29	147,033	1.08	359.4	388
Men's Facility	339,278.14	16,829	20.16	107.9	2,175
Women's Facility	108,403.07	2,100	51.62	97.3	5,022
Polk County Jail	345,221.54	32,916	10.49	47.8*	501
Bureau of Adult Correction Services					
State Penitentiary	$ 3,749,829	220,095	$17.04	693	$11,809
Men's Reformatory	2,828,906	156,585	18.07	693	12,523
Women's Reformatory	490,184	19,710	24.87	404	10,047
Parole & Probation	684,531	630,720	1.09	468	510

*These figures apply only to persons awaiting trial in the Polk County Jail; length of time and cost per term for persons serving sentences could not be determined.

**Source: NCCD, Community-Based Alternatives to Traditional Corrections: The 1973 Evaluation of the Fifth Judicial District Department of Court Services.

Table II-5
Des Moines, Iowa Site

Comparison of Cost of the Iowa Department of Correctional Services with Projected Costs For Handling its Clients through Other Programs*

	Additional Clients	Cost Per Day	Total Additional Cost Per Day	Total Additional Cost Per Year
Polk County Jail	**56**	**$10.49**	**$ 587.44**	**$ 214,415**
Probation & Parole	**515**	**1.09**	**561.35**	**204,893**
Men's Institutions	**133**	**17.55**	**2,334.15**	**851,965**
			Total Additional Costs	**$1,271,273**
			1973 Costs--Department of Court Services	**817,044**
			Total Cost Difference	**$ 454,229**

***NCCD, Community-Based Alternatives to Traditional Corrections: the 1973 Evaluation of the Fifth Judicial District Department of Court Services.**

government administrative structure. Recently added is a community services public works program designed to productively utilize offenders sentenced to weekend confinement in jail. This program is expected to contribute 2,000 man-days of labor to county service.

Goals

The program is designed to provide sentencing alternatives, reduce court and prosecutor caseloads, reduce the jail population, provide social rehabilitation services to selected offenders, and reduce county justice system costs.

Administration

The program components are, primarily, part of the Office of Court Alternatives, established in early 1975 by the Board of County Commissioners. Organizationally, this office is administered by a director who reports to the Court Administrator of the Ninth Judicial District. The program is monitored by a Board of Directors composed of the sheriff, state attorney, chief judge, chairman of the Board of County Commissioners, and district supervisor of the Department of Offender Rehabilitation. The organization chart appears in Figure 2.

> "...(the replication grant) proposal called for an Office of Court Alternatives, administratively responsible to the County Court Administrator, a political appointee, and receiving policy guidance from a Board of Directors on which most of the top county officials concerned with criminal justice would sit. The Office of Court Alternatives was to manage and coordinate the activities of all the replication programs, the release-on-recognizance program that the sheriff's office has been operating, the supervised release program that had been funded by Re-entry and run by the Department of Community Affairs, and the residential facility-to-be."[21]

Program Operations

The Office of Court Alternatives serves as a court/corrections "umbrella" agency, combining a supervised release program, a pretrial diversion unit, a county (misdemeanant) probation component, and a community-based residential facility. The sheriff continues to operate the ROR and diagnostic/classification unit, but close coordination with the Office of Court Alternatives is maintained.

The ROR program is administered from the county jail. Prerelease staff gather information concerning the pretrial detainee's present and past employment, length of residence in the community, prior criminal record, and family ties. This information is verified by calling close associates, friends, and family, and points are awarded according to an objective scale. If the defendant has scored a sufficient number of points, the staff recommends release on recognizance to a circuit court judge. If the staff recommendation is accepted by the judge, the defendant is given a card informing him of the charges against him and the date and time of his scheduled court appearances. He is then released. A reminder notice is sent to him one week prior to his court date.

> "...if the defendant does not appear in court, an attempt is made by the staff to contact the defendant. The staff determines whether the defendant has forgotten or could not appear at his court appearance or whether there was a conscious effort to avoid prosecution. If the latter is the case, the defendant's release order is revoked...A record is kept in the office files of all persons interviewed and released by the pretrial release component. When the disposition of the case is determined, the release order discontinues and the file is closed."[22]

The supervised release program component reaches many persons who do not qualify for regular ROR. The program expects all participants to be: actively employed or seeking employment; receiving vocational training; or in an academic program. The program counselor's job is to provide services and/or make appropriate referrals.

> "...each participant receives weekly supervision and makes a commitment to establish personal goals. At the initial stages each person signs an agreement form where the program guidelines are explained, and a treatment plan is determined. Supportive counseling is stressed with services made available from existing community agencies...in the areas of job development, educational upgrading, vocational training, and individual, and family counseling."[23]

Certain offenses disqualify an offender for supervised release: crimes against persons; serious drug charges; or use of a weapon in the commission of a crime. To be eligible a defendant also must have a pending court date in Orange County in a county or circuit court.

The pretrial diversion program component uses deferred prosecution as an incentive in working with the offender. The program draws heavily from the age group of 17 to 26 years. To be eligible, clients must have no prior adult convictions and no drug, alcohol, or severe emotional problems. In addition, only minor offenders (charged with misdemeanors or third-degree felonies) are eligible.

> "All participants are involved in intensive supervision/counseling coupled with a coordinated use of community resources and rehabilitative facilities...the principal objective of the pretrial diversion program is to offer selected youthful, although adult, first offenders coordinated assistance in the areas of vocational training, job placement, educational assistance, personal counseling and physical and mental health services. These services are made available immediately after arrest and throughout a six to twelve month period of deferment. When a participant successfully completes the program, he will be virtually assured of maintaining a clean record."[24]

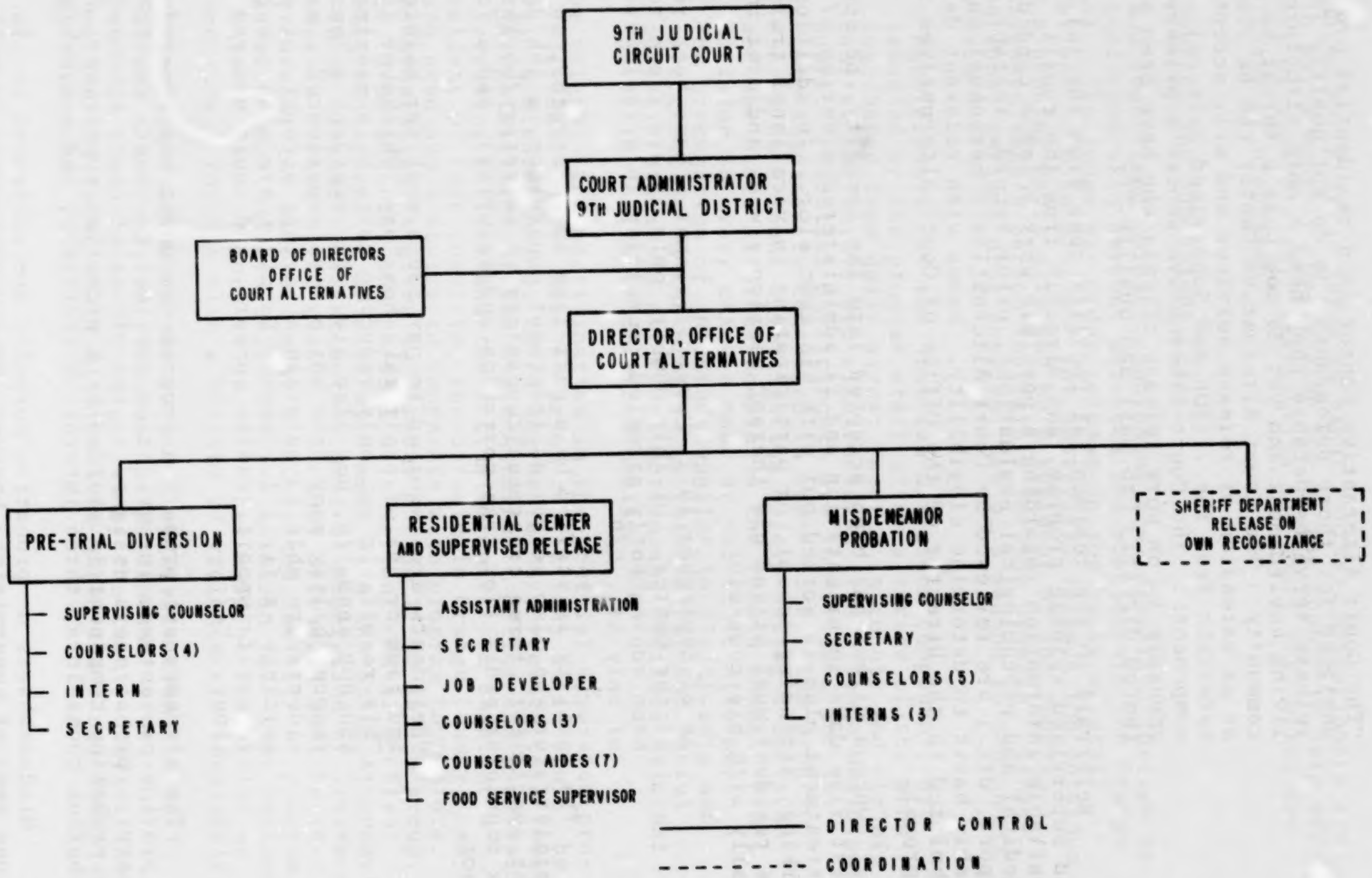
The residential facility is known as the Court Alternative Center. It is a converted motel, with space for 50 residents, located in a commercial area of Orlando. It is leased by the county from a private owner.

FIGURE II-2

ORLANDO, FLORIDA REPLICATION

ORGANIZATION OF THE NINTH JUDICIAL DISTRICT OF COURT ALTERNATIVES

(1978)


9TH JUDICIAL CIRCUIT COURT
COURT ADMINISTRATOR 9TH JUDICIAL DISTRICT
BOARD OF DIRECTORS OFFICE OF COURT ALTERNATIVES
DIRECTOR, OFFICE OF COURT ALTERNATIVES
PRE-TRIAL DIVERSION
SUPERVISING COUNSELOR
COUNSELORS (4)
INTERN
SECRETARY
RESIDENTIAL CENTER AND SUPERVISED RELEASE
ASSISTANT ADMINISTRATION
SECRETARY
JOB DEVELOPER
COUNSELORS (3)
COUNSELOR AIDES (7)
FOOD SERVICE SUPERVISOR
MISDEMEANOR PROBATION
SUPERVISING COUNSELOR
SECRETARY
COUNSELORS (5)
INTERNS (3)
SHERIFF DEPARTMENT RELEASE ON OWN RECOGNIZANCE
DIRECTOR CONTROL
COORDINATION

> "The Court Alternative Center is a residential program designed for those defendants who do not qualify for release services because they need a more structured living environment and yet do not pose a threat to the community. The Court Alternative Center can be viewed as an extension of release services and will accept referrals from the...(ROR and Supervised Release)... components. The Court Alternative Center's primary emphasis is on work release clients who have been sentenced directly "to jail and qualify."[25]

Referrals to the residential facility come from the jail, the ROR and supervised release program, and directly from the courts. All available information regarding a possible work release candidate (medical and psychological evaluations, prior record, instant offense report, etc.) are reviewed by Court Alternative's personnel on a weekly basis to determine elegibility. Names with relevant data are submitted to the Director of the Office of Court Alternatives for approval.

Once a client has been accepted into the facility, he spends the first five days in orientation and is administered a series of tests. A treatment plan is worked out with his counselor. In addition to working, attending school, or participating in vocational training, the resident must attend one therapy session a week and meet individually with his counselor.

> As of September 1977, "over 375 inmates have been residents at the Center. Of this number, only 18 are known to have been subsequently arrested, resulting in a recidivism rate of only 5%..."[26]

The facility is staffed by a part-time administrator, an assistant administrator who also serves as treatment supervisor, a job development specialist, three treatment counselors, a secretary/bookkeeper, six counselor aides (for transportation and security), and a food supervisor.

> "Residents are required to pay $30 a week for maintenance and room or 80% of their take-home pay, whichever is less. This results in not only reducing costs by approximately $50,000 annually, but also gives the resident a sense of responsibility many have not before experienced...many residents are able to maintain a savings account out of their earnings--a first for some--(Earnings are also used)... for self support, family support, and court-ordered obligations..."[27]

The misdemeanant probation program component was created in 1976 to provide presentence investigation services to county courts and to supervise probationers assigned to the Office of Court Alternatives. The probation component is staffed by a probation supervisor, five probation counselors, three interns, a secretary, and a clerk/typist.

Misdemeanants on probation normally are sentenced to six months to one year of supervision; however, many probationers do well and are terminated early (from three to eight months). Probationers are expected to pay a monthly supervision fee to the county to help offset the cost of supervision. Restitution and court fees often are made conditions of probation.

Referral Sources and Admissions Policy

ROR and supervised release candidates are identified through interviews conducted with persons arrested and booked into the Orange County Jail. The judge may order release on the basis of staff recommendations. To be eligible for supervised release the detainee must have a pending court date and be a resident of the county. Certain offenses make a person ineligible for the program: crimes against persons; serious drug charges; use of a weapon in the commission of a crime.

> "Participants (of the pretrial diversion component) are selected by the program staff after a review of the pending charge from daily arrest reports in county and circuit courts. Referrals are also received from Orlando Municipal Court. Potential participants are interviewed and the State Attorney is consulted in every case. The program does a background investigation before making a decision and the State Attorney completes the record check. Final decision in every case is made by the State Attorney. The presumption of innocence applies to all clients and participation in the program is voluntary. Successful participants avoid all court action and possible criminal conviction on their deferred charge."[28]

To be eligible for participation in the pretrial diversion program, an individual must: have no prior convictions as an adult; be charged with a misdemeanor or third-degree felony; receive case review from the Charge Division of the State Attorney's Office and permission from the arresting officer and the victim to defer the case; be a county resident or have committed the offense in Orange County; and demonstrate need and a desire to cooperate with program counselors. Primary consideration is given to persons in the 17 to 26 age group. Alcoholics, drug addicts, and persons with serious mental problems are not eligible except by special agreement with the State Attorney's Office. (Drug offenders, if accepted, must be supervised by Treatment Alternatives to Street Crime (TASC). Alcohol offenders must be receiving treatment for alcoholism by a recognized facility or program.) Candidates also must be physically able to maintain full-time employment and must have 60 days or more to serve. They must be classified as minimum security. Persons with a history of violence are ineligible.

The Court Alternative Center receives referrals from the jail, the courts, and other program components. Misdemeanor probation cases are referred for presentence investigation by the county court. The director of the Office of Court Alternatives makes the final decision concerning placement.

Workload

Workload figures for each program component for the year 1977/78 appear in Table 6. About 1,150 persons are supervised on any one day; 1,880 annually (some individuals may be counted more than once if they are served by more than one program component).

Financing

Fiscal year 1978/79 costs for the program are available for three of the major project components. These are shown in Table 7. Four sources of funds support the program: 12 percent comes from federal and state sources, including grants; another 58 percent comes from local county funds. The remainder (30 percent) is program income from three sources. Pretrial diversion charges a one-time supervision fee of $50 for misdemeanor cases and $80 for felony cases. Probation supervision fees of $10 a month are supplemented by $6 from the state for every $10 collected locally. Residents of the residential center pay $30 a week to help offset room and board costs. As of September 19, 1978:

> "Pretrial Diversion...services about 450 cases annually and produces at least $150,000 in prosecutorial cost reductions.
>
> The Court Alternatives Center...has provided for over 350 inmates who would otherwise have remained in jail. The daily resident cost of $10.96 compares favorably with the jail cost of $13.75 and amounts to an annual savings of $45,000, and relieves jail overcrowding.
>
> County Probation...provides services to at least 350 persons who would otherwise be in jail at any given time. At $14 daily per individual in jail, this amounts to a minimum yearly reduction of $1,500,000 in jail maintenance costs, or an approximate savings of $950,000 annually."[29]

The Orange County philosophy emphasizes client participation in payment of fees, restitution, and other costs. For example, in FY 1977-78, misdemeanor probation reported that $53,793 was collected for supervision fees, $34,600 for court fines and costs, and $13,200 for restitution.

ST. LOUIS COUNTY (DULUTH) MINNESOTA

Setting

Duluth is a port city located at the west end of Lake Superior in St. Louis County, northeastern Minnesota. The County had a population of 220,693 in 1970 and it covers a land area larger than the state of Connecticut. Roughly one-half of the population of the county is concentrated in its southern portion, centered in and around Duluth.

The Des Moines replication project originally was established to serve this southern area of St. Louis County, but the community corrections system there has evolved far beyond what it was in the early replication period. St. Louis County is now one of a group of sparsely populated counties in the Arrowhead Regional Corrections System, a six-county corrections authority.

Services

The original replication project in St. Louis County consisted of the four program components of the Des Moines model: ROR, supervised release, probation, and a residential facility. Under the Arrowhead Regional Corrections Board, nearly all juvenile and adult corrections services have now been pulled together into the multi-county regional corrections system (the jails continue to be operated by local sheriffs).

Court and field services provide pretrial, probation, and parole services to County and District courts throughout the region. Juvenile institution services include operation of the Northeast Regional Corrections Center (the equivalent of Fort Des Moines), its educational program and outreach components (such as volunteers in corrections), and the Two Harbors Positive Peer Culture Program. One section of the department is responsible for planning, research, staff development, and educational outreach programs in four smaller counties.

Goals

The original objectives of the Duluth replication were: to provide defendants with an alternative to bail or pretrial detention and convicted offenders with an alternative to bail or jail while awaiting sentencing; to reduce recidivism by expanding probation to offer education and training, counseling employment services, and drug treatment programs; to house and treat a majority of offenders in the community while maximizing public protection; to integrate the offender into the community while serving a sentence in order to encourage non-criminal behavior upon release; to emphasize the use of local community services in treating the offender; and to coordinate existing community corrections programs in the county and district to reduce gaps and duplication in services.[30]

> "Two major considerations apparently guided the grant proposal for replication funds. 1) The money would help consolidate community corrections in St. Louis County, giving local officials more control over felons after adjudication. Administratively, the project would give District Court judges more leverage over the Northeast Regional Corrections Center, and help integrate the corrections center with county probation. 2) The money would help reduce the grotesque workload of county probation officers. Administratively, the project would allow probation to separate criminal caseloads from family support caseloads."[31]

Table II-6
Orlando, Florida Replication

Workload Statistics
Orange County Office of Court Alternatives

Program Component	No. of Annual Admissions	Av. Daily Population	Av. Length of Stay (months)
Pretrial Diversion	450	305	7
Residential Facility	130	38	5.7
Misdemeanor Probation	900	615	8
Pretrial Release	400	193	n/a

Table II-7
Orlando, Florida Replication

Annual Operating Costs of Program Components
Orange County Office of Court Alternatives

Pretrial Diversion	$ 80,000
Residential Facility	228,000
Misdemeanor Probation	93,000
Release-On-Recognizance and Supervised Release	Not Available

Administration

The Arrowhead Regional Corrections System is governed by the Arrowhead Regional Corrections Board through a joint powers agreement signed by the six participating counties. St. Louis County serves as fiscal agent for the corrections agency. There are four major organizational divisions: (1) court and field services; (2) juvenile institutional services; (3) adult institutional services; and (4) support services. The current organization appears in Figure 3.

Program Operations

At the time of the LEAA replication began in St. Louis County (December 1974) only two of the four program components existed; a regional community correctional facility and a probation service with very large caseloads. No ROR or supervised release program components were available.

The community corrections facility was initiated in 1969 following a St. Louis County Grand Jury investigation of conditions at the County Work Farm, which found the Work Farm "comparable to a dog kennel." As pressure to improve the situation increased, the legislature appropriated $50,000 to survey the state's corrections problems. This study produced recommendations encouraging St. Louis County to form a regional corrections facility in cooperation with Carlton, Lake, and Cook Counties.[32] In 1973, LEAA funds were used to remodel the County Work Farm and its name was changed to Northeast Regional Corrections Center.

In 1971, an LEAA grant made it possible to provide diagnostic and treatment services to the Duluth Municipal Court and to add one staff position for the purpose of initiating a treatment program at the Work Farm. Meanwhile, as was the case elsewhere in the nation, the population of the Work Farm was changing. Public drunkenness statues were removed from the books in Minnesota in 1971 and, as district court judges became more confident in the program it was used to confine younger felony offenders with longer sentences.

A 60-bed minimum-security regional corrections facility for adults, the Center is located 17 miles outside Duluth on a 3,000 acre site. It is also an operating farm. The main building was built in 1930. The location of the facility and the sparsely populated character of the region make it necessary to deliver many services to the population, rather than release residents to the community for services.

> "The daily living program of any facility is often overlooked; yet, without an adequate one, many other things are not possible. The residents at NERCC (Northeast Regional Corrections Center) are allowed to bring their own clothing and personal possessions in with them. The only restrictions are on hot plates, food and food preparation in the rooms for fire and sanitation reasons. Clean linen is available as needed and is regularly exchanged twice per week. Work clothes and boots are provided for those assigned to outside jobs.

> Meals are at 7:00 A.M., 12:00 Noon and 5:00 P.M., with the main meal in the evenings. Snacks are provided on a limited basis around 9:00 P.M. The residents, through their elected representatives, operate a canteen which is open at various times during the day and evening. The profits go to the residents and they purchased such items as a football, table, refrigerator, washer, and dryer for their own use. The resident manager handles his own inventory and account. There is a resident council meeting on Wednesdays and a staff-resident meeting the following day each week. This serves as the vehicle for generating suggestions, complaints and change where feasible and offers staff and residents a forum. Residents receive an allowance weekly. It amounts to about 50¢ per day for either a 5 or 7 day job, depending on preference and need (7 day jobs are voluntary)."[33]

Forty-three full-time and part-time staff members provide a balanced but largely institution-based program. The organization of the Northeast Regional Corrections Center is depicted in Figure 4.

Intensive probation services also are provided. Probation services existed in St. Louis County prior to the replication project, but the large probation caseload ruled out intensive probation. The replication grant, plus an additional grant through the local regional criminal justice planning unit, allowed St. Louis County and the three other counties in the vast Sixth Judicial District to reorganize probation services.

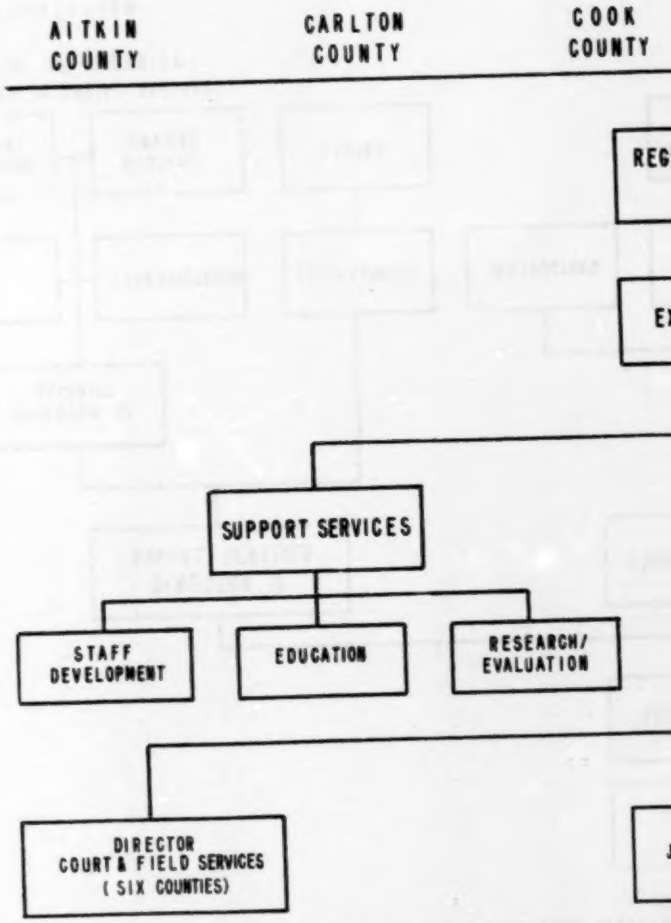
> "The intensive probation unit allowed the chief probation officer to divide his staff into two groups, one handling the family support cases and the other felony cases. Hence, intensive probation allowed an administrative reorganization of caseloads."[34]

ROR and supervised release were initiated as part of the replication effort. Many compromises needed to be hammered out before the ROR program in Duluth could be implemented. In the original replication design the ROR supervisor was to be the jail administrator; however, county board approval was needed to promote him to this supervisor role and the board vetoed the plan. The county sheriff assumed daily supervision of the program. ROR interviewers became uniformed sworn deputies. Eventually, for various reasons, the ROR program became only an obscure part of the Duluth program.

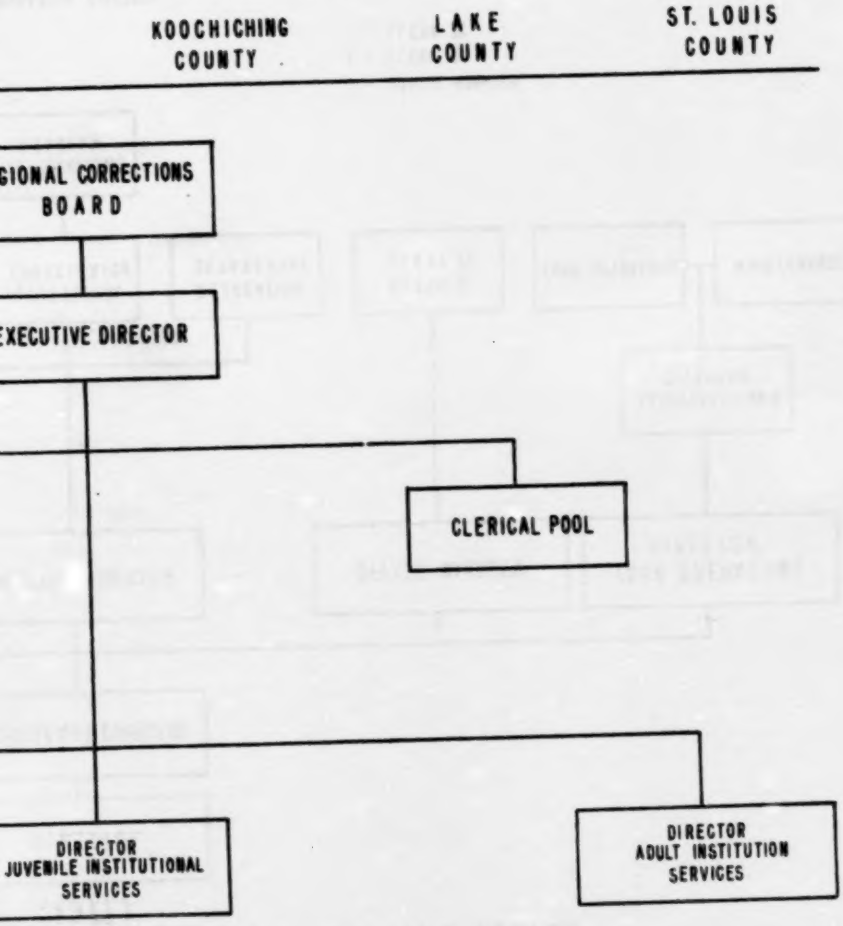
> "Unlike other jurisdictions...the use of field citations by police was widespread. In Duluth the police were issuing citations to, instead of booking, some 44 percent of those they arrested for misdemeanors, and it was certain that the percentage would increase greatly within months. A new Code of Criminal Procedures required the police to release on citation unless they justified their detention in writing, for all but a few specified classes of misdemeanor defendants was to take effect in July 1975. The ROR program was bound to wither away..."[35]

FI

DULUTH, MI
ORGANIZATION OF THE ARROWHEA


AITKIN COUNTY
CARLTON COUNTY
COOK COUNTY
REG
EX
SUPPORT SERVICES
STAFF DEVELOPMENT
EDUCATION
RESEARCH/ EVALUATION
DIRECTOR COURT & FIELD SERVICES (SIX COUNTIES)
J

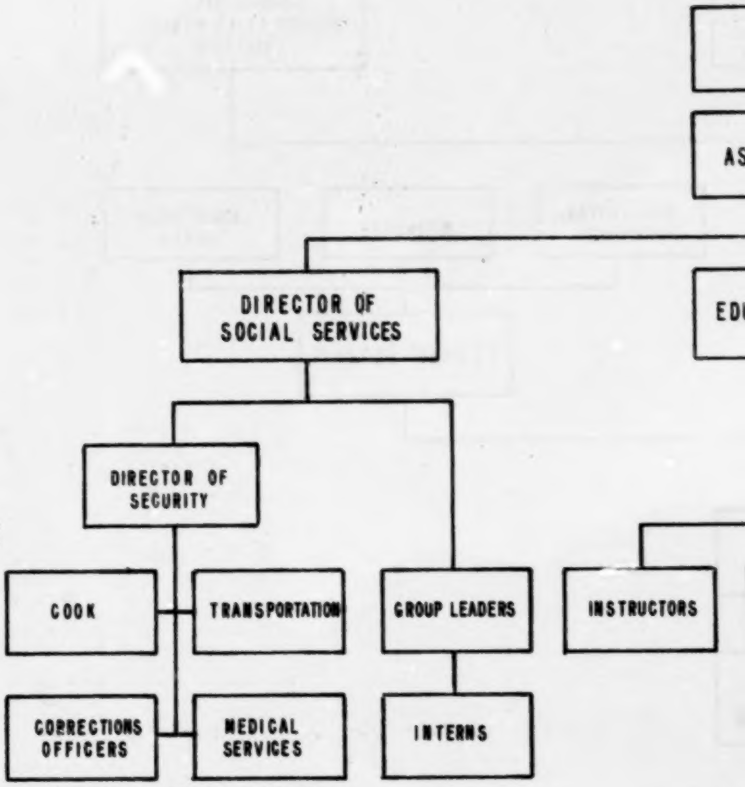
GURE II-3
INNESOTA REPLICATION
AD REGIONAL CORRECTIONS SYSTEM
(1978)


KOOCHICHING COUNTY
LAKE COUNTY
ST. LOUIS COUNTY
GIONAL CORRECTIONS BOARD
EXECUTIVE DIRECTOR
CLERICAL POOL
DIRECTOR JUVENILE INSTITUTIONAL SERVICES
DIRECTOR ADULT INSTITUTION SERVICES

F

DULUTH, M

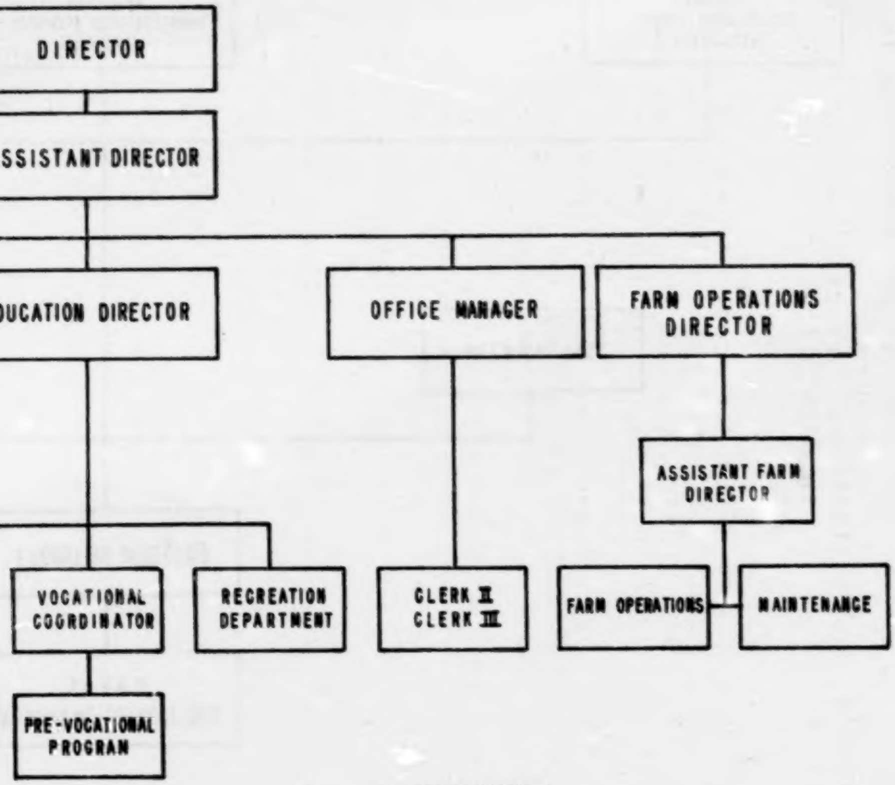
ORGANIZATION OF THE NORT


AS
DIRECTOR OF SOCIAL SERVICES
EDU
DIRECTOR OF SECURITY
COOK
TRANSPORTATION
GROUP LEADERS
INSTRUCTORS
CORRECTIONS OFFICERS
MEDICAL SERVICES
INTERNS

1 - DIRECTOR OF SOCIAL SERVICES
1 - DIRECTOR OF SECURITY
2 - COOK
2 - TRANSPORTATION
5 - CORRECTIONS AGENTS - INSTITUTIONAL SERVICE
7 - CORRECTIONS COUNSELORS (PRESENT) - 9 PROPOSED

1 -
3 -
1 -
3 -
1 -
1 -
1 -

FIGURE II-4
MINNESOTA REPLICATION
THEAST REGIONAL CORRECTIONS CENTER
(1977)


DIRECTOR
SSISTANT DIRECTOR
UCATION DIRECTOR
OFFICE MANAGER
FARM OPERATIONS DIRECTOR
ASSISTANT FARM DIRECTOR
VOCATIONAL COORDINATOR
RECREATION DEPARTMENT
CLERK II
CLERK III
FARM OPERATIONS
MAINTENANCE
PRE-VOCATIONAL PROGRAM

1 - OFFICE MANAGER
1 - CLERK II
1 - CLERK III

- EDUCATION DIRECTOR
- TEACHER II
- TEACHER I
- TEACHER AIDES
- PRE-VOCATIONAL INSTRUCTOR
- GUIDANCE COUNSELOR
- RECREATION DIRECTOR

1 - DIRECTOR OF MAINTENANCE & OUTDOOR OPERATIONS
1 - ASSISTANT DIRECTOR OF MAINTENANCE & OUTDOOR OPERATIONS
1 - CARPENTER
3 - WORK FOREMEN
1 - MECHANIC
1 - BUTCHER/MEATCUTTER
1 - MAINTENANCE MAN
1 - HERDSMAN

Since there were few ROR releases, supervised release was the major pretrial program component, and it was used extensively. Forty percent of misdemeanor defendants, and forty-three percent of felony defendants were released under supervision.[36] In Duluth this program produced impressive results.

> "...it was unarguably a successful control program. A large majority of the clients completed it without incident. Only two percent were returned to jail and less than one percent were charged with failing to appear at a scheduled court hearing. Six percent were arrested for new offenses, two-thirds of which were misdemeanors, while they were in the program. All those figures are considerably lower than the equivalent ones in the Des Moines prototype."

Other program components were added as part of Duluth's effort to adapt the Des Moines model to local needs. Three important features provide good examples of such localization. First, a position of job developer was created with responsibility for contacting potential employers to encourage them to hire offenders, working with clients in all components of the program, and maintaining a close working relationship with the Comprehensive Employment and Training Act (CETA) program. Second, the program developed a specific American Indian component. Linkages were developed with the Minnesota Chippewa tribe, which was represented as a separate unit of government with status equal to county commissioners on the governing board. In addition, two Indian probation officers were hired to work with American Indian clients. And third, a law enforcement liaison officer was hired to work with the supervised release component and to obtain the support and cooperation of law enforcement.

Referral Sources and Admission Policy

The county and district courts serve as the primary referral source for all four program components.

> "Residents are received at NERCC directly from the courts. The county courts can commit a man here to a maximum of 90 days per charge; the district courts, up to 1 year per charge. Misdemeanants (county court) are here on a straight commitment and are eligible to earn up to 5 days per month 'good time'. Felons are here as a condition of probation and as such are not eligible for 'good time'. What generally happens with a felon is that the judge at sentencing will commit a man to the Department of Corrections for the term prescribed by law, usually 5 years in the cases we receive, stays execution of the sentence and places him on a like amount of probation with a condition that he do the first year at NERCC. Therefore, if he runs away or commits some other prohibited act he can go back before the sentencing judge to face a violation of probation hearing. If found to be in violation of his probation, he can be returned here or to the county jail and/or his time can be started over, or the original sentence can be reinstated and the invididual sent to a state facility. In the case of a felon, the judges tend to see NERCC as one last chance. Therefore, we tend to get young, first time felony offenders. The misdemeanants tend to come in all shapes, sizes and ages."[37]

Workload

Key workload figures of 1977, by major program components, are presented in Table 8.

Financing

The Minnesota Community Corrections Act[38] provides a subsidy to support the current Arrowhead Regional Community Corrections System, but each participating county also contributes significantly to finance the effort. Revenues for 1978, by source, appear in Table 9. However, the way the Arrowhead Regional Community Corrections Systems constructs its budget makes it difficult to estimate the cost of each replication program component. Even the Florida State University evaluators were unable to reconstruct these costs.[39]

CLARK COUNTY (VANCOUVER) WASHINGTON

Setting

Clark County, Washington, another Des Moines replication site, contains about 175,000 residents and is located in the southern part of the state. The principal city is Vancouver. Portland, Oregon, lies just across the Columbia River, to the south.

Services

As the Clark County replication was initiated, in August 1975, several existing services were combined with the new replication components within a new Department of Community-Based Corrections. This department now performs four basic functions:

- Client screening--the collection of information for the courts, ROR services, misdemeanant probation presentence investigations, and drug abuse assessments.
- Case management--supervision of clients through misdemeanor probation services, supervised release, drug abuse services, and alternative community services.
- Client treatment in residential treatment facilities--including drug abuse services and a variety of out-client programs.
- Client re-entry assistance to ease the transition to release status through employment services and counseling.

Goals

Simply stated, the goals of the Department of Community-Based Corrections are to provide the courts with local sentencing alternatives for felony and mismeanor offenders; to provide offenders with structured supervision and services to assist them in developing necessary behavior and employment skills; and, to coordinate services to offenders so that essential services are delivered without duplication.

Administration

The evolution of the Clark County program is best summarized in the LEAA Des Moines Exemplary Project report:

Table II-8

Duluth, Minnesota Replication
Workload by Major Program Component

Program Component	Annual Admissions	Average Daily Population	Average Length of Stay
North East Regional Corr. Center	262	80	(See Note #1)
Intensive Prob.(2)	498	64	1 yr.
Supervised Rel.	772 (3)	110 (4)	3 wks. (5)
ROR	Replaced by Citation Release		

Notes:

1. Felons averaged 10 months; misdemeanants averaged 45 days.
2. Duluth only.
3. This includes 266 felony cases of which 123 were released, and 506 misdemeanor cases, of which 444 were released.
4. Estimate of the Project Director.
5. Estimate of the Project Director.

Table II-9
Duluth, Minnesota Replication

Means of Financing
Arrowhead Regional Corrections System, 1978*

Beginning Balance (1977 Carryover)	$336,196.00
Atkin County	34,138.00
Carlton County	117,996.00
Cook County	15,494.00
Lake County	62,556.00
Koochiching County	44,124.00
St. Louis County	$1,522,686.00
State of Mn. Dept. of Corrections	1,197,428.00
Miscellaneous (1)	551,348.00
Total	$3,881,966.00

1. Education grants and contracts. This amount also includes per-diem from non-participating counties (at $25 per day) and farm income.

*Source: Arrowhead Regional Corrections Board, Arrowhead Regional Corrections Plan, 1978, Duluth, Minn: September 1977.

> "The replication project developed by Clark County was shaped by local needs and realities. It established a new Department of Community Corrections within the county government, with a director directly responsible to the County Commissioners. Within the new department, several existing criminal justice functions were combined with new replication components. Two new pretrial components were established: an ROR and a supervised release component. Given the unmet need for intensive probation supervision, the new organizational structure absorbed the existing county misdemeanant probation office and added an Intensive Services Unit which would not only provide intensive probation supervision to the misdemeanants who needed it, but which would also be assigned probation responsibility for those felons whom judges felt needed intensive services (services not currently provided because of the high caseloads of the state probation unit). The replication project also absorbed the existing work-release program and established a residential treatment facility patterned on Fort Des Moines."[40]

Today the Department of Community-Based Corrections consists of seven components in addition to administration. The first four of these were initiated with the Des Moines replication effort.

1) Pretrial Services (ROR)
2) Pretrial Supervised Release
3) Misdemeanant Probation Services
4) Residential Treatment Services
5) Alternative Community Services
6) Drug Abuse Unit
7) Employment Services

The administrative organization of these program components is illustrated in Figure 5.

Personnel requirements varied over the period 1977-78, but generally included the following:

Central Administration:	1 Director, 3 Division Managers, 1 Clerical
ROR:	1 Supervisor, 3 Interviewers
Supervised Release:	1 Counselor
Misdemeanor Probation:	1 Supervisor, 3 Probation Officers
Residential Treatment:	7 Counselors, 1 Clerical
Alternative Community Services:	1 Counselor
Drug Abuse Unit:	1 Counselor
Employment Services:	1 Supervisor, 1 Counselor

Program Operations[41]

In the release on recognizance (Pretrial services) component, interviewers screen the majority of defendants brought to the Clark County Jail to determine elegibility for pretrial release. Screening is stringent and difficult cases are closely monitored throughout the pretrial period. A point scale is used to screen offenders. Criminal history information is obtained from local law enforcement agencies. For felonies, a recommendation regarding ROR is given the court; for misdemeanors, the unit may release the offender on his own recognizance and advise the court of that action.

Supervised release (Pretrial supervised release) is considered for those arrested invididuals who do not qualify on the point scale for ROR. Release is a judicial decision, based in part upon the recommendations of supervised release staff. Supervision in the community is a unit responsibility. A counselor provides intensive individualized supervision.

The misdemeanant probation services unit provides presentence investigations for the District Court and supervision of misdemeanants on probation. The misdemeanant probation program has three distinct functions: (1) evaluation and training, including screening, motivational counseling, and job placement; (2) drug services with screening, referral to treatment agencies, outpatient counseling, urine sampling, and case tracking; and (3) diagnostic services (also available to any Clark County criminal justice agency).

The residential treatment program offers intensive counseling in a therapeutic community for long-term (up to one year) residents. Work and educational release are possible in the latter months of a resident's stay. An intensive behavior modification program is provided to male adult felony offenders who would be committed to prison if not accepted for this residential alternative. Educational and vocational training is provided where appropriate and employment is required for graduation.

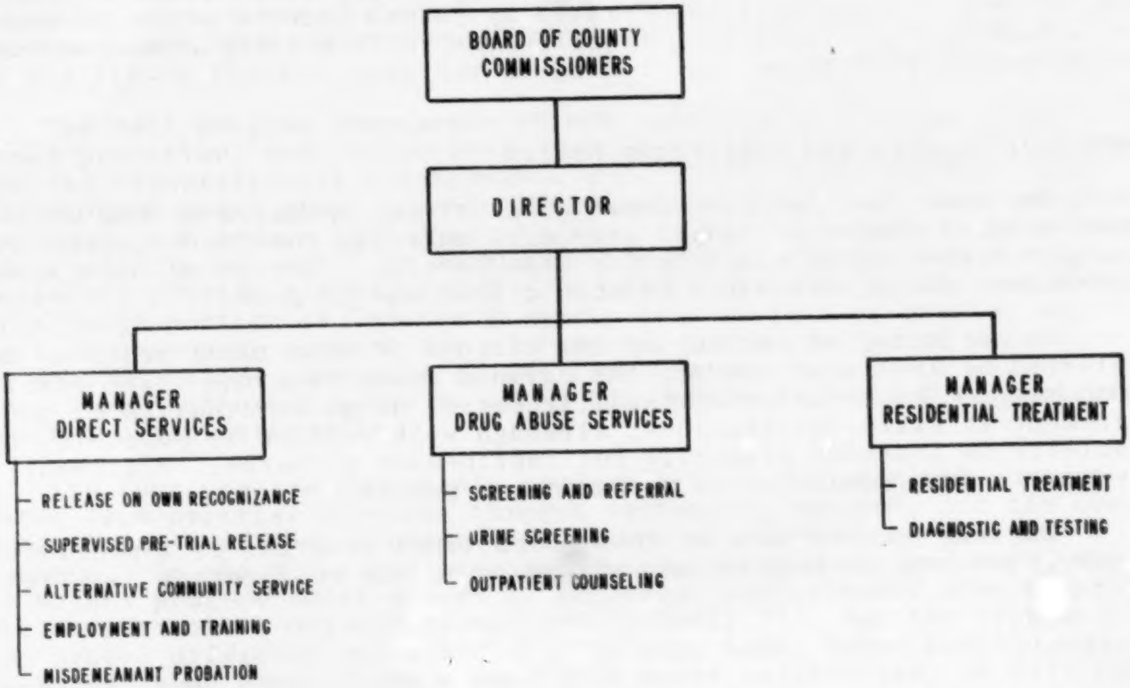
The alternative community services unit a[illegible]ndigent traffic offenders to public and private non-profit age[illegible]e fines are worked off at a credit of $3.00 per hour.

The drug abuse unit provides drug abuse eva[illegible]ns for the courts and probation department, manages a drug det[illegible]ion (urine scanning) program, and provides intensive counseling and therapy for drug abusers.

In the employment services unit counselors provide vocational testing and motivational counseling.

The Clark County programs operate out of four facilities. The Green House now is the site of the administrative offices, as well as the employment, misdemeanant probation, alternative community service, and supervised pretrial release components. The County owns this building, which is located half a block from the courthouse. Langdon House is the locus of the Treatment Alternatives to Street Crime program, as well as the National Institute of Drug Abuse outpatient counseling and ROR programs. This building also is half a block from

FIGURE II-5
VANCOUVER, WASHINGTON REPLICATION
ORGANIZATION OF THE CLARK COUNTY
DEPARTMENT OF COMMUNITY BASED CORRECTIONS
1978


BOARD OF COUNTY COMMISSIONERS
DIRECTOR
MANAGER DIRECT SERVICES
RELEASE ON OWN RECOGNIZANCE
SUPERVISED PRE-TRIAL RELEASE
ALTERNATIVE COMMUNITY SERVICE
EMPLOYMENT AND TRAINING
MISDEMEANANT PROBATION
MANAGER DRUG ABUSE SERVICES
SCREENING AND REFERRAL
URINE SCREENING
OUTPATIENT COUNSELING
MANAGER RESIDENTIAL TREATMENT
RESIDENTIAL TREATMENT
DIAGNOSTIC AND TESTING

the courthouse and owned by the county. Both Green and Langdon Houses are in a lower-class white, single and multiple-dwelling neighborhood, now undergoing a transition that will result in a predominance of county facilities. Davis Court, also half a block from the courthouse is used as a residential and diagnostic facility with a capacity of 18. Current plans are to move to a larger, 33-bed facility at Lincoln Arms, about a mile from Davis Court and to backfill the Davis facility with the administrative offices now located at the Green House. Lincoln Arms, upstairs, will serve as the residential treatment facility under contract to a private organization, PREHAB: the lower floor consisting of 30 beds also will be operated by PREHAB under a state contract as a work-release facility. Lincoln Arms is in a lower-class, white neighborhood with industrial zoning in the area.

Referral Sources and Admissions Policy

The wide range of programmatic activities operated by the Department permits almost all adult offenders entering the Clark County justice system to be eligible for some service. Screening, of course, determines the proper match between client and program.

An estimated 98 percent of the clients of Department programs are referred by the local courts; the balance comes from the state paroling authority. The residential facility serves as an alternative to confinement in state institutions; although work release is possible, the facility is intended primarily for confinement purposes. Placement typically is a condition of probation or parole.

The only restriction on these Department programs is a prohibition against placing violent or sex offenders in the residential facility.

Workload

Specific indicators of workload by program components are depicted in Table 10.

Financing

Budget revenue sources and costs by program component for the Clark County Department of Community-Based Corrections are shown in Tables 11 and 12.

THE DES MOINES PROGRAM MODEL: STRENGTHS AND WEAKNESSES

The Des Moines experience and the lessons learned at the six replication sites provide an opportunity to highlight those features of the program model that appear to have demonstrable value and those that seem to have had unintended or undesired effects. Site visits and review of extensive documentation concerning the replications provide convincing evidence that this community correctional center program model represents an efficient and effective corrections strategy applicable to a wide variety of communities.

> "...the sites chosen certainly fulfilled the Institute's desire for variety. They included a conservative and a geographically remote capitol of a mountain state, a rich suburban county, a somewhat decrepit industrial city, a booming tourist town and the capitol of a politically intense deep-southern state."[43]

An important strength of the model is that it has been replicated successfully in several areas of the nation normally considered politically conservative and therefore relatively unreceptive to the community corrections philosophy. The attraction of local control, accountability, and economy were persuasive elements in initiating and sustaining change.

The four program components of ROR, supervised release, misdemeanor probation, and residential treatment, as well as the administrative and organizational arrangements used to tie them together, give this program model great appeal. There is evidence that these program components can reduce jail overcrowding; improve the quality of information available to courts in determining pretrial release and fixing sentences; provide a residential alternative to jail that is suitable for a large portion of inmates formerly sent to jail or prison; and generate community support for corrections and correctional reform. The administrative placement of the four components under a single corrections authority helps to bring the "pieces" of local corrections together organizationally.

The four program components bridge much of the criminal justice system from pretrial services through sentencing options, but the comprehensiveness of that concept is a source of weakness as well as strength. In the three replication jurisdictions described here, the Des Moines program model proved an important evolutionary step toward more comprehensive organizational arrangements.[44] But the program also proved difficult to replicate. In Salt Lake, Baton Rouge, and San Mateo, some program components were never established; in Salt Lake, Duluth, and elsewhere some components were initially established, then atrophied and eventually disappeared. Because there are four distinct program components, it is unlikely that all components will experience difficulty at any one site; thus, the model does demonstrate some resiliency for survival. Many changes took place during the replication process, but at each site the program did survive, although often in modified form. Were the program model a single component, it might be much more vulnerable to a "success/fail" outcome.

Experience with the program also suggests some pitfalls to avoid. In Des Moines, the community correctional facility was designed to work with clients who formerly would have been sentenced to jail or prison. A recent state corrections research report concludes that some Fort Des Moines residents would have received probation if the Des Moines facility were not available.[45] At Des Moines many people disagree with this finding. But even if the state report is correct, it could be argued that many of the clients formerly placed on probation could have been put on probation inappropriately; in other words, judges may have believed they needed the closer supervision of a residential program, but none was available.

Table II-10
Vancouver, Washington Replication

Workload by Program Component
Clark County Department of Community-Based Corrections*

Program Component	Workload Indicators
ROR:	Of 2,851 individuals interveiwed in 1977, 56% were not recommended for ROR release. With an average of 35.1 days on ROR, .03% rearrested during the release period.
Supervised Release:	Of 43 misdemeanants and 199 felons referred to the program in 1977, 40.5% were accepted. Of these, 91.6% successfully completed their period of release. Annual average caseload, 73. Average 53 days on release.
Misdemeanant Probation:	For the 473 clients supervised in 1977, average number of client contacts was 9.76; 241 presentence investigations were conducted; supervision was provided to 190 offenders.
Residential Treatment:	18 residents in 1976; 22 residents admitted in 1977.
Alternative Community Services:	968 referrals in 1977; 98.7% placed at a community work site; 95.9% successfully completed service assignments.
Drug Services Unit:	46 drug abuse evaluations; 72 involved in urine screening program; 35 receiving drug counseling.
Employment Services Unit:	Of 163 felony offenders referred in 1977, 81% were successfully placed. Of 64 misdemeanant offenders referred to the program, 57% were successfully placed. An average of 33 days elapsed between first contact and employment.

*Source: Health and Welfare Planning Council, Community-Based Corrections Evaluation, 1977.

Table II-11
Vancouver, Washington Replication

Calendar 1978 Budget-Revenue Sources
Clark County Department of Community-Based Corrections*

Clark County District Court	$212,527
Washington State Department of Corrections (grant)	113,279
Treatment Alternatives to Street Crime (TASC) (grant)	111,642
Washington State Law and Justice Commission (State criminal justice planning agency block grant)	22,644
Clark County General Funds	1,132
National Institute of Drug Abuse (NIDA) (contract)	13,430
Comprehensive Employment and Training Act (CETA) funds	11,911
State Grant in Aid Drug Funds	4,000
	$490,565

*Source: Interview with agency director, 1978.

Table II-12
Vancouver, Washington Replication

1977 Costs By Program Component
Clark County Department of Community-Based Corrections*

Program	Cost Indicators
ROR:	Budget approximately $55,000; cost per interview - $19.29
Supervised Release:	Budget approximately $25,000
Misdemeanant Probation:	Total budget $110,000; cost per client $287.96; average cost per contact, $29.50; cost for maintaining one probation client for one month, $48.00
Residential Treatment:	Total unit costs, $259,033; cost per client $6,475.32; cost per successful client $64,758.22
Alternative Community Services:	Budget $20,000; total value of community services in 1977 - $41,900.00
Drug Services Unit:	Budget $95,375
Employment Services Unit:	Budget $28,000; average cost per placement - $123.35.

*Source: Health and Welfare Planning Council, Community-Based Corrections Evaluation, 1977.

Signs of unintended side effects also were found at other locations. In Duluth, Florida State University evaluators found evidence that persons placed on supervised release were persons who, in previous years, would have been released on ROR or on bond.[46] In Orange County, supervised release gave way to the pretrial diversion program (essentially a deferred prosecution program) and/or placement at the community correctional center during the pretrial period; and, in some of the ROR programs, admission criteria were altered to fit population pressures at the local jail.[47] These "system adaptations" can neutralize the expected and planned impact of the Des Moines community correctional center program model. The fact that they occurred during the replication period shows that these replications were not without some important flaws. Management cannot always be expected to "rise to the occasion" nor will "localization" or program adaptation always result in improvements upon the original concept. Nevertheless, in each case the program represented an improvement over what had been available before, and the approach appears flexible enough to warrant consideration as a general alternative to traditional corrections concepts.

It is instructive to examine the many useful variations which developed as widely differing jurisdictions attempted to replicate the Des Moines community corrections program. In each case replication involved a certain localization of program features; for example, in Des Moines, a former military barracks was used as a community corrections facility. A similar attempt in the Orlando area proved impossible and an existing motel eventually was converted into a community correctional facility. In Duluth, the St. Louis Work Farm provided the most logical site, and the timing proved to be right for its conversion to a community correctional facility. In Clark County, a more residential setting was developed. In each case, the community correctional facility emerged with its own distinctive character, architecture, staffing characteristics, and its own locally tailored philosophy. In each case the initiation of the community correctional facility was the product of a mixture of unique circumstances, timing and local competence and interests.

Other program components also were shaped by local needs, interests and priorities. In Des Moines, the initial program emphasis focused on pretrial prisoners, while in Duluth the program emphasized services to convicted prisoners. In each case local strengths, weaknesses, needs and priorities were adapted to the Des Moines prototype. As a result, the programs established in each jurisdiction were quite different. It is clear that jurisdictions wishing to implement the Des Moines model may begin with the basic ideas, but modify them to meet their own situation.

One of the more innovative aspects of the Des Moines program was the administrative structure. Significantly, the jurisdictions described here experienced important changes in their correctional structures. While not always patterned after Des Moines, these jurisdictions significantly modernized their administrative arrangements. In Orange County and in Vancouver, for example, the replication experience provided the early basis for consolidating local corrections into a more unified structure. Further evolution led to the formation of Departments of Court Services at each of these locations. And, in Iowa and Minnesota, the state encouraged other localities to begin community corrections programs patterned after the Des Moines and Duluth models. In each case, the new administrative arrangements represented an improvement over that which had existed in the past and, according to persons interviewed at each site, these administrative realignments represented an important strength of the program model.

CHAPTER III

MONTGOMERY COUNTY (MARYLAND) WORK RELEASE/PRE-RELEASE PROGRAM MODEL

Contemporary thinking in corrections argues for a continuum of community correctional alternatives, including secure confinement, community residential treatment facilities, and probation/parole services. Community correctional facilities serve the middle ground, but several distinctly different approaches are possible. One is described in Chapter II: Fort Des Moines and its replications serve primarily as a residential alternative to jail. Other components of that community correctional center deal extensively with pretrial detainees, emphasize providing local courts with better information to aid sentencing decisions, and supervise offenders on probation in the community.

This chapter describes a program model with a primary focus on the sentenced offender, and the community correctional facility itself. The concept represents a combination of two well-known correctional programs: the halfway house and work release. Halfway houses typically are designed to provide short-term, community-based housing for released offenders until they obtain employment and establish stable and independent living arrangement in the community.[1] Work release allows a prisoner to leave a correctional institution daily to work at a job in the community.[2]

> "A characteristic of most work release programs is that the inmates pay a portion of their wages for room and board, make required and voluntary payments for family support, pay taxes on their earnings, pay fines, and, in some cases, make restitution payments. Inmate payments for room and board average between four and five dollars per day. On release, program participants receive their accrused savings."[3]

Some counties have established work release programs in institutional settings with few additional services. In contrast, others have implemented full-service programs operated from community residential facilities. The latter are known as pre-release centers.

> "One alternative to transitional release procedures which recently has received widespread attention is the pre-release program. Inmates participating in pre-release programs are allowed to work and attend school in the community prior to termination of their sentence or release on parole. Participants in such programs are provided a full range of treatment, employment, and educational services and are allowed increasing levels of supervised freedom, based on their program performance. Pre-release programs providing work and education release opportunities vary markedly among and within jurisdictions with respect to program elements such as eligibility criteria, services provided, provisions for increased freedom, and inmate housing arrangements. To the extent that pre-release programs offer a full range

> of services to participants and an opportunity for progressively increased amounts of freedom, they differ from the more traditional work release programs which generally provide inmates little more than the opportunity for temporary release from an institutional setting to work in the community."[4]

The Montgomery County (Maryland) Work Release/Pre-Release Center (PRC) combines work-release and halfway house concepts in a short-term community-based correctional program. As a prototype, it is an excellent example of the full-service pre-release community correctional center program model. Much has been written about the Montgomery County PRC.[5] As one of 32 programs awarded "exemplary project" status by the National Institute of Law Enforcement and Criminal Justice, it has demonstrated objective evidence of success in reducing crime and improving criminal justice, cost-effectiveness, and adaptability to other jurisdictions.[6]

THE MONTGOMERY COUNTY PROGRAM MODEL

Setting

The Montgomery County Work Release/Pre-Release Center is located in a commercial district of Rockville, Maryland, in the heart of Montgomery County (population 600,000).

Services

This PRC integrates treatment and control services through systematic procedures and a highly structured program.[7]

> "The program involves extensive supervision, counseling services, social awareness instruction, and work or educational release from the center. Center clients, with the help of staff, develop a contractual agreement which sets forth their goals and proposed activities necessary to attain those goals prior to being transferred from the center."[8]

Goals

Nine primary goals of the Center have been formulated:[9]

- To operate a highly structured correctional center providing residential treatment services to selected offenders nearing release to the community.
- To increase opportunities for offenders to change both themselves and those conditions that brought them into the criminal justice system.

York Bay

TABLE II-1

PRE-RELEASE CENTER PROGRAM MODEL: MONTGOMERY COUNTY WORK RELEASE/PRE-RELEASE PROGRAM

Location Characteristics[1]	Rockville, MD.
Community Served	Montgomery County, Maryland 600,000 population
Sponsoring/Operating Agency	Montgomery County Dept. of Corrections & Rehabilitation
Services Offered	Residential facility, work release, pre release, educational release, social awareness training, counseling, social family & leisure development services.
Annual Operating Budget	$625,040
Sources of Funds	CETA: $32,240; LEAA: $114,077; Client Fees: $60,000; County: $418,723
Major Program Components	Behavior contracting, work and education release, community & center counseling services, social awareness instruction, residential services, alternative leisure time and community sponsor program
Workload	Facility has 92 beds
Cost	Average cost: $2,000 per client; average stay, 75 days
Admission Criteria	Men & women sentenced by County Courts. Federal releases sentenced from Montgomery County; selected pre-trial detainees
Referral Sources	Local Attorneys & County Detention Center via County Courts, Bureau of Prisons, State Dept. of Corrections
Who Makes the Intake Decision?	Federal & State prisoners apply to center director; other placement ordered by court after staff review & recommendation
Facilities	One newly constructed multi-unit correctional facility containing two 42-bed units for men and one 16-bed unit for women
Personnel	37 full & 2 part-time staff, plus 5 consultant psychologists @ 5% time

[1] See narrative description for dates, costs & detail, etc.

- To develop a social climate and program to facilitate personal change, encourage individual responsibility, and increase social problem-solving skills.
- To encourage and guide participants toward development of positive interpersonal relationships with family members and others.
- To operate in such a manner that the community feels comfortable with the center's presence.
- To provide the parole commission and/or court with an assessment of the offender's readiness for release.
- To release participants to the community with employment, cash savings, and suitable housing.
- To implement a correctional program that provides economic and social advantages to the community (e.g., residents contribute 20 percent of income toward room and board and pay family support, restitution, taxes, etc.).
- To decrease the need for the probability of continued crime after release to the community.

Administration

The ten-year history of the Montgomery County PRC and its adminstrative organization reveals a gradual, almost natural, evolution that could be experienced in many jurisdictions in the nation. The Center, started in 1968, initially was administered by the county detention center. In this way, it was not unlike many other jurisdictions that manage work furlough programs from county jails or honor farms. By January 1969, a work release dormitory had been set aside to house up to 16 carefully selected inmates. Three years later, it became apparent that a penal environment was incompatible with the community orientation of the work release program.

With financial assistance from LEAA, the program moved to its own temporary facility in 1972 and began operating independently of the detention center and under its own director. Again, this was a natural evolution that reasonably might be expected to occur in other jurisdictions as their work release programs expand. In Montgomery County, another evolutionary milestone was the formation, in 1973, of a Department of Corrections and Rehabilitation. This further consolidated the various components of the county corrections system. The new department contained two divisions: one for detention; the other for work release and pre/release services.

> "The new correctional philosophy that emerged emphasized the development of a well-rounded community-based treatment program for offenders incorporating not only the concept of work release, but additional treatment services such as intensive individual and group counseling, use of community resources, provision of social awareness instruction, implementation of a phased release program, and utilization of county alcohol and drug treatment capabilities."[10]

Figure 1 illustrates the administrative organization of the Montgomery County PRC and the internal staffing of the facility and its programs.

Program Operations

The internal organization of the Montgomery County PRC reflects the major components of the program. The Director (a deputy director of the county-wide department) is responsible for management. He also is responsible for coordination with district and circuit courts, state and local corrections agencies, and other public and private agencies. Correctional counselors provide contract monitoring, manage the alternative leisure activity program, work with families of residents, and conduct intensive counseling using reality therapy. They work evenings and weekends and carry a caseload which averages about ten clients each. Fifty percent of the professional staff of the Montgomery County PRC are women, many of whom serve as correctional counselors.

The Social Awareness Instructor, a teacher/counselor, administers a 32-hour social awareness program. All entering PRC residents attend two-hour evening sessions twice a week for eight weeks. The seminars expose residents to community resources and prepare them to deal with those situations any releasee must face as he leaves the center program. Subjects include: job finding, work adjustment, money management, social services resources, family planning, communications skills, and use of leisure time. The Social Awareness Instructor also manages the resident tutorial program and the PRC library.

The Work Release Coordinator concentrates on finding suitable jobs for center residents, conducts job checks with employers of residents, and conducts an employment interview skills seminar utilizing video tapes for all new residents who are unemployed.

The Community Services Coordinator is in charge of resident access to community-based services and the Correctional Unit Supervisors are responsible for managing the treatment and supervision services of each of the correctional units of the facility.

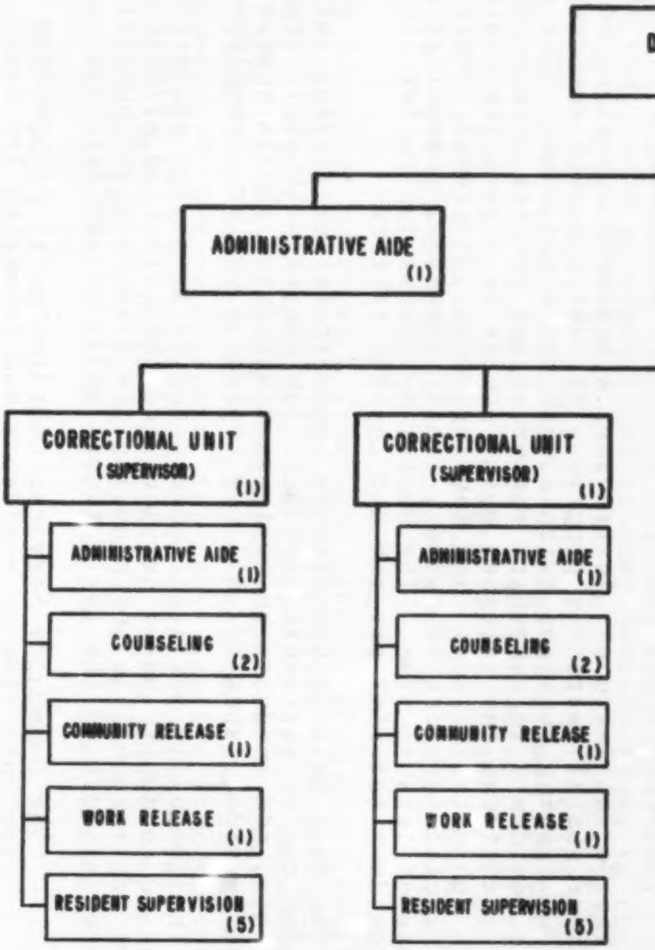
> "The Community Services Coordinator is responsible for interviewing residents and arranging for treatment services which are available in the community. The Community Services Coordinator assesses individual offender's needs, matches them with community resources, and then coordinates the intake, placement,

FIG

MONTEGOMERY

ORGANIZATIONAL CHART

(FEB

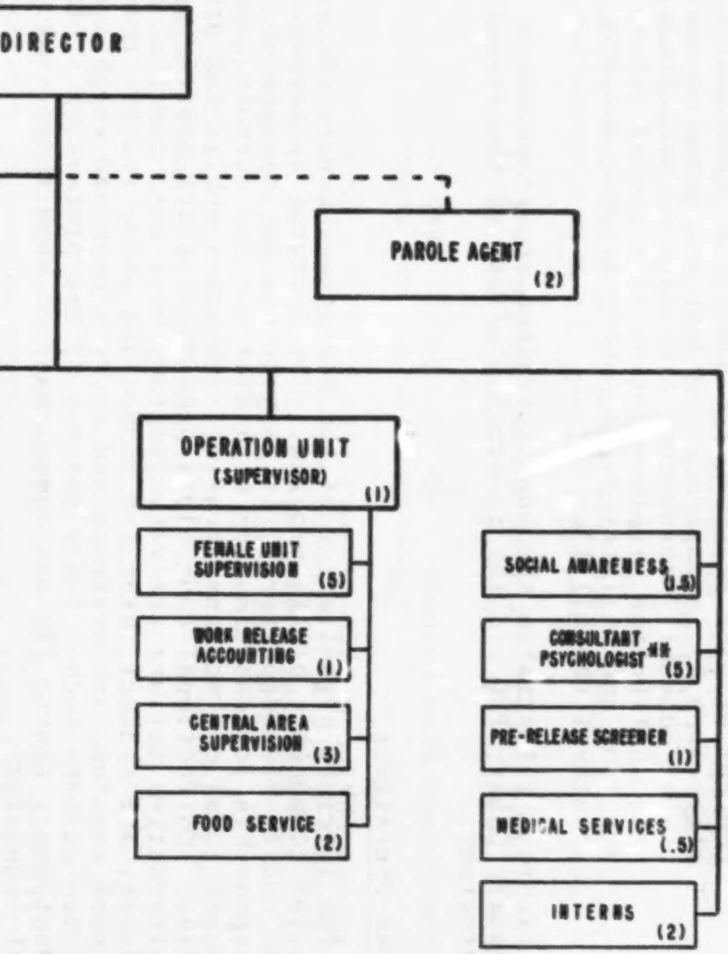

D
ADMINISTRATIVE AIDE (1)
CORRECTIONAL UNIT (SUPERVISOR) (1)
ADMINISTRATIVE AIDE (1)
COUNSELING (2)
COMMUNITY RELEASE (1)
WORK RELEASE (1)
RESIDENT SUPERVISION (5)
CORRECTIONAL UNIT (SUPERVISOR) (1)
ADMINISTRATIVE AIDE (1)
COUNSELING (2)
COMMUNITY RELEASE (1)
WORK RELEASE (1)
RESIDENT SUPERVISION (5)

* NUMBER IN PARENTHESES REFERS TO THE NUMBER OF STAFF FILL

** PART-TIME: TOTAL 22 HOURS/WEEK

GURE III-1

COUNTY PROGRAM MODEL
FOR THE PRE-RELEASE CENTER*
BRUARY 1978)


DIRECTOR
PAROLE AGENT (2)
OPERATION UNIT (SUPERVISOR) (1)
FEMALE UNIT SUPERVISION (5)
WORK RELEASE ACCOUNTING (1)
CENTRAL AREA SUPERVISION (3)
FOOD SERVICE (2)
SOCIAL AWARENESS (1.5)
CONSULTANT PSYCHOLOGIST** (5)
PRE-RELEASE SCREENER (1)
MEDICAL SERVICES (.5)
INTERNS (2)

LING THAT POSITION

> and ongoing service delivery of the community resources for the individual resident. The Community Services Coordinator handles other community-based activities such as church, group recreational events, involvement in County athletic leagues, etc. The Community Services Coordinator also is the Center's representative at sentence reduction hearings and Parole Board hearings for residents."[11]

> "The Correctional Unit Supervisor is responsible for resident control, line supervisory staff and most Center operational activities. The Supervisor ensures accountability of residents and compliance with Center policies and regulations, maintains a drug-and alcohol-free unit, develops staff duty schedules, ensures proper maintenance of inmate case records, and writes pre-parole reports. He is required to supervise other functions such as work release accounts, food service, facility and equipment maintenance, etc."[12]

The facility was designed and constructed specifically as a work release/pre-release center. Opened in February 1978, it has a resident capacity of 92. There are three independently operated correctional units (one for women and two for men). These units are tied together structurally by a hallway and share a central area serving education, dining, and administrative functions. The facility is of brick and concrete-block construction, located in a commercial area, close to public transportation.

> "Each of the three units...contains bedrooms, a game/television room, visiting area, laundry room, telephone and vending machine area, control desk, counseling rooms, staff offices, supply room and records room."[13]

The Montgomery County PRC program consists of three phases. Progress made by residents is measured against specific behavioral indicators (e.g., job evaluation, bank balance, disciplinary reports, participation in PRC and community activities, etc.).[14]

> "In Phase I the resident is expected to finalize his or her contract and begin the activities specified in that agreement, i.e., finding a job, attending Social Awareness seminars, meeting with one's counselor, etc. In Phase I the resident receives two 16-hour passes per month. After six weeks on the program with good performance ratings, the resident is eligible for "progression" into Phase II, in which he or she continues the various contracted activities, but is rewarded for past responsible behavior with increased home and visitation privileges (88 pass hours per month). The resident is also allowed to bring in his or her own paycheck. The resident must perform consistently at a high level in Phase II for at least six weeks before becoming eligible for Phase III, which does not differ significantly from Phase II except that the resident earns much more time for home visitation passes (168 pass hours per month) and receives the balance of his or her paychecks

after room/board and Court-ordered payments are made."[15]

Referral Sources and Admissions Policy

Offenders must voluntarily apply to the Center. Admission is granted by the Center director after each applicant has been screened by the staff and appropriate recommendations have been made to the court or correctional jurisdiction (state or federal) having authority, which in turn approves the transfer.

Four groups are eligible to volunteer for the program:

1. Those sentenced to the Montgomery County Department of Corrections and Rehabilitation for 18 months or less;
2. Those who are in the state system and were county residents prior to incarceration;
3. Those who are in federal institutions and were residents of the county prior to incarceration, or are on federal probation and the community work release program is a condition of probation;
4. Selected pretrial cases referred by the court.

> "The PRC staff screener locates potential participants through coordination with the courts, detention center, state corrections officials and federal community program officers. At least once a week the screener goes to the County Detention Center and reviews the status of all current inmates to identify likely candidates."[16]

About 90 percent of PRC residents are referred by the court through the county detention center. Most of these are serving "split sentences" such as 18 months in the county correctional system followed by two years probation. The vast majority of these individuals are being diverted from the state system. Federal and state inmates apply to the PRC through their institution's classification committee.

> "If approved, a Federal or State correctional coordinator refers the individual to the Pre-Release Center Director who in turn reviews the case and determines final acceptance. Pretrial applicants must be approved by the Pre-Release Center Director and the Court. Preference, however, is given to the sentenced offenders."[17]

The inclusion of pretrial detainees is a departure from the original purposes of the Center. Adaptation of the program and shifts in the type of population referred or admitted occurs in each program model. Not only do programs change as they are replicated elsewhere; the same program changes over time. Sometimes these changes can be quite dramatic, suggesting that an effort should be made to continually reassess community corrections needs.

Certain individuals are, by law, ineligible for participation in the Montgomery County PRC program. Excluded are persons more than six months from a release date or an escape risk; those with serious pending charges; those with detainers from other jurisdictions; those incapable of working because of physical or psychological problems; and those previously revoked from the program.

Other cases are declared ineligible on the basis of criteria established by the Program Director, his advisors and staff, using a Suitability Selection Scale which tends to screen out "...extremely violent cases and assaultive recidivists; stranger to stranger murders and rapes, or repeated armed robbery cases (all should receive state incarceration); first offender cases where probation appears the obvious choice and there is no significant alcohol, drug or mental health problem identified."[18]

Workload and Performance Indicators

In addition to full services for up to 92 residents, the PRC continues to provide limited services to ex-residents. Parole and probation agents assigned to the PRC carry caseloads of approximately 75 ex-residents. Typically, one office visit, one field visit, and several phone calls a month are made with each releasee.

During the period August 1972 through December 1976, 636 persons were processed through the PRC program. Of these, 89 percent were county inmates, 9 percent were state cases, and 2 percent were divided equally between misdemeanants and felony cases.

Performance indicators are categorized generally as employment, cash savings, suitable housing, protection of the community, and recidivism data. A study of 399 residents during the period December 1974 through July 1977 showed 93 percent were placed in jobs.[19] The same study found that 65 percent had at least $50 cash when released from the PRC; about half left with more than $150. Another study found that "all but one of the individuals successfully released between August 1972, and August 1975, had housing at the time of discharge."[20] During the four-year study period about one-fourth of all PRC residents were revoked for program violation. Primary reasons for revocation were drugs (8.1 percent), alcohol (5.5 percent), and "walk-off" (4.7 percent). The remainder (7.7 percent) were revoked for reasons classified as "other." In addition to the 163 persons revoked, another 15 were removed from the program for administrative reasons such as detainers in other jurisdictions and pending charges.[21]

The PRC program's impact on recidivism is suggested by the finding that 78 percent of participants completing the program had no arrests one year after release; 11.6 percent were convicted of new offenses and 5.5 percent were re-incarcerated.[22]

Financing

The Montgomery County PRC has been funded through a combination of LEAA grants and state and local funds. Comprehensive Employment and Training Act (CETA) funds also have been used.

The annual budget for FY 1977 was $625,040. Salaries, rent, and food are the largest budget items. Jurisdictions considering establishing a PRC should note that amounts will vary with the size of the facility and by locale. Capital outlay, of course, is not included in this figure and this can represent a substantial investment. The $2 million building in Montgomery County was specifically designed as a pre-release/work release facility. It is 55 percent county-financed and 45 percent state-funded. Some $650,000 of that cost was for site acquisition.[23]

Montgomery County reports that the daily operating cost for the PRC is $21.11 per bed (as compared to a daily cost of $32.68 per bed at the county detention center).[24] Costs per case (per day costs multiplied by length of stay) demonstrate the economic advantages of the program. The Director reports that the Center is more efficient and effective than traditional programs.

> "To provide work release/pre-release services on an individual basis in FY 75 the cost was approximately $1,741 and the net cost, after subtracting room and board payments, was $1,581. These are individuals who typically would have spent eight to eighteen months in the state system (giving optimum consideration for parole possibilities) where the cost involved would have been much greater."[25] ....At the same time that we are diverting these offenders, we have a program output of 80% arrest-free 1 year after discharge. I would suggest this system as both more effective and more efficient from an economic point of view."[26]

MONTGOMERY COUNTY PROGRAM MODEL: STRENGTHS AND WEAKNESSES

Although there are many programs similar in some respects to the Montgomery County PRC (LEAA-sponsored National Evaluation Program studies provide numerous illustrations),[27] close observers of the program found "the Montgomery County PRC is not directly comparable...as it operates in a highly supervised setting, providing both employment and therapeutic services."[28] ....a conclusion reached after completing a telephone survey of ten projects operating throughout the country. Results of the telephone survey, however, do provide a basis for a limited comparison of Montgomery County's program with other work release programs according to key characteristics and indicators. (See Table 2). Persons conducting the survey caution that: "Data interpretation is limited insofar as all the information was elicited in a single phone call to each project; thus, no documentation was available and most project data represent rough estimates. In view

TABLE III-2

RESULTS OF ABT TELEPHONE SURVEY OF WORK RELEASE/PRE-RELEASE PROJECTS*

PROGRAMS / FEATURES	MONTGOMERY COUNTY WORK RELEASE/ PRE-RELEASE PROGRAM (PRC)	ALAMEDA COUNTY SHERIFF'S DEPARTMENT OAKLAND, CALIFORNIA	SPOKANE COUNTY DEPARTMENT OF PUBLIC SAFETY SPOKANE, WASHINGTON	NYC DEPARTMENT OF CORRECTIONS BROOKLYN MANHATTAN	BUCKS COUNTY DEPARTMENT OF CORRECTIONS DOYLESTOWN, PENN	CHESTER COUNTY COMMUNITY CORRECTIONS CENTER WESTCHESTER, PENN	ADULT PROBATION DEPARTMENT SAN FRANCISCO, CA	ST LOUIS COUNTY DIVISION OF ADULT CORRECTIONAL INSTITUTIONS CHESTERFIELD, MISSOURI	CITY-COUNTY WORKHOUSE ST PAUL, MINNESOTA	GLOUCESTER COUNTY SHERIFF'S DEPARTMENT WOODBURY, NEW JERSEY	ORLEANS PARISH CRIMINAL SHERIFF'S DEPARTMENT NEW ORLEANS, LOUISIANA
ELIGIBILITY	COED: ACCEPTS REPEATERS, VIOLENT AND SERIOUS DRUG OFFENDERS	FEMALES HOUSED SEPARATELY: ACCEPTS REPEATERS, VIOLENT OFFENDERS & SERIOUS DRUG OFFENDERS	FEMALES HOUSED SEPARATELY: ACCEPTS REPEATERS, VIOLENT OFFENDERS & SERIOUS DRUG OFFENDERS	MALE ONLY; MOSTLY FIRST OFFENDERS; NO VIOLENT OR SERIOUS DRUG OFFENDERS	MALE ONLY: ACCEPTS REPEATERS, VIOLENT OFFENDERS & SERIOUS DRUG OFFENDERS	MALE ONLY; ACCEPTS REPEATERS, VIOLENT OFFENDERS & SERIOUS DRUG OFFENDERS	MALE ONLY: ACCEPTS REPEATERS; NO VIOLENT OR SERIOUS DRUG OFFENDERS	MALE ONLY; ACCEPTS REPEATERS, VIOLENT OFFENDERS BUT NO SERIOUS DRUG OFFENDERS	MALE ONLY; ACCEPTS REPEATERS, VIOLENT OFFENDERS BUT NO SERIOUS DRUG OFFENDERS	MALE ONLY; ACCEPTS REPEATERS, VIOLENT & SERIOUS DRUG OFFENDERS	FEMALES SEPARATE - ACCEPTS REPEATERS BUT NO SERIOUS DRUG OR VIOLENT OFFENDERS
AVERAGE DAILY POPULATION AND/OR TOTAL POPULATION FOR 1976	ADP - 38 TOTAL - 199	ADP - 150 TOTAL FOR '76 - 922	ADP≈55 TOTAL = 500	BROOKLYN ADP - 35, MANHATTAN - 43, TOTAL - 880	ADP≈90 TOTAL - NA	ADP - 15 TOTAL - NA	ADP - 50 TOTAL - NA	CAPACITY - 48 TOTAL≈200	ADP - 150 TOTAL ≈ 300	CAPACITY - 40 TOTAL - NA	ADP≈40-45 TOTAL - 248
FELONS VS. MISDEMEANANTS	50%/50%	60%/40%	80%/20%	35%/65%	30%/70%	NA	10% MIS. NA FELONS	85%/15%	NA	NA	NA
SERVICES PROVIDED	EDUCATION RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES	EDUCATION RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES	EDUCATION RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES	EDUCATION, RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES COME TO FACILITY	EDUCATION RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES	EDUCATION RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES	EDUCATION RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES	EDUCATION RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES	COUNSELING, EDUCATION PROGRAMS IN-HOUSE, NO COMMUNITY SOCIAL SERVICES	EDUCATION RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES	EDUCATION RELEASE, COUNSELING, COMMUNITY SOCIAL SERVICES
LEVEL OF SUPERVISION: URINALYSIS, ALCOLYSER	RANDOM & POST-FURLOUGH; 3 ADDITIONAL/WEEK FOR KNOWN ABUSERS	1 OR 2 A WEEK AS NECESSARY OR AS STIPULATED IN MUTUAL AGREEMENT CONTRACT	URINALYSIS TWICE A WEEK DONE OUTSIDE FACILITY: NO ALCOLYSER	URINALYSIS WEEKLY OR IF SUSPECT; NO ALCOLYSERS	PERIODICAL, RANDOM TESTING OF BOTH	AS NECESSARY	EVERY 10-14 DAYS	AS NEEDED	AS NEEDED	NO	URINE WEEKLY, RANDOM ALCOLYSER - DAILY
OUTCOMES: TOTAL REVOKED	27%	20%	8-9%	25%	5%	NA	5%	10%	10%	1-2%	NA
REVOKED FOR NEW OFFENSE	1%	1%	4%	0.0%	NA	NA	4%	0.4% (SINCE 1975, TOTAL N-475)	0	0	NA
REVOKED FOR ABSCONDING	5%	12%	ONE PER MONTH 1.3%	21%	NA	NA	14%	2.7% (SINCE 1975, TOTAL N-475)	3-4%	0	NA
RECIDIVISM (DEFINED BY ALL PROJECTS EXCEPT PRC AS RATE OF RETURN TO WORK RELEASE PROGRAM)	(DEFINED AS ARREST) 20%	3.4%	NA (NOT AVAILABLE)	NA	NA	NA	12%	NA	44%	NA	NA
JOBS UPON RELEASE	85%	54%	98%	ABOUT 80%	100%	NA	100%	87%	100%	95-100%	95-100%
HOUSING UPON RELEASE	100%	100%	90-93%	100%	96-99%	90-95%	95%	100%	100%	65-100%	ABOUT 100%
TOTAL BUDGET	1975 $ 304,150	$ 847,104	NA	NA	(1977) $ 353,764	NA	$ 162,487	NA	$ 137,000	NA	NA
COST PER PERSON PER DAY	1972-1975 $ 24.00	$ 32	ABOUT $ 10	NA	(1976) $ 21.00	$ 14	$ 8.00 BASED ON ADP ≈ 75	NA	$ 22	NA	NA

* SOURCE: Abt ASSOCIATES, EXEMPLARY PROJECT SCREENING AND VALIDATION REPORT: MONTGOMERY COUNTY WORK RELEASE/PRE-RELEASE PROGRAM

of the limitation of the data, this survey at best serves as only a crude reference against which to compare the PRC."29

Table 2 does highlight some of the strengths of the Montgomery County program model as compared with more conventional work release programs:

- Control and Treatment

  One of the most striking characteristics of the program model is the successful integration of a high level of control and supervision with extensive therapeutic services.

- Pre-release/Work Release Emphasis

  This program model is applicable to jurisdictions in which the primary need for a community correctional center is to reintegrate jail or prison inmates into community life--where linkages to jobs, suitable housing and social services, and a reasonable financial base are the primary client needs.

- Good Management

  The management aspect of the Montgomery County PRC is a strength, but it may not be easily transferable. PRC management is characterized by carefully worked out and competently administered referral and screening procedures, a structured program, extensive management controls, good record-keeping, and excellent policy and procedure manuals. (Much of this information is available directly from the Montgomery County PRC)

- Cost-Effective and Efficient

  The operating costs of the PRC are less than those of the county detention center or the state prison, and re-arrest, reconviction, and re-incarceration rates are low. It appears to be an efficient and effective corrections alternative for a carefully screened client population.

- Contributes Economically

  The program makes sense financially: "Over 1,200 individuals have participated in the program since 1969. They have earned over $1.2 million dollars, paid over $200,000 dollars to the County for room and board, paid over $200,000 in taxes, paid over $250,000 for family support, and had $250,000 for savings at release. Residents also pay restitution if court ordered."30

In addition to these strengths, the Montgomery County model has other distinct advantages. It is probably easier to implement than the Des Moines program model since it deals primarily with sentenced offenders and is operated largely from a single facility. The Des Moines model is more comprehensive, linking together pretrial services, probation, and the residential facility. However, its very comprehensiveness and the complexity of implementing the Des Moines model is also one of its weaknesses.

The Montgomery County PRC model will be particularly attractive to communities with overcrowded jails or in those jurisdictions where new state corrections subsidies are encouraging localities to retain offenders who formerly would have been sent to state prisons. In this case the PRC model would serve as a sentencing alternative for local courts, functioning in a manner similar to Fort Des Moines and its counterparts rather than primarily as a pre-release facility. The PRC model is especially applicable where localities do not have the facilities to house and program this type of correctional client.

Another advantage of this program model is that it is capable of serving a wide range of clients--felons and misdemeanants; county, state, and federal prisoners; men and women; and young as well as older adults. Though it serves mostly sentenced offenders, it also provides services to about one-half dozen pre-trial detainees at any given time.

The program model also has certain weaknesses. Replication is likely to be an "all or nothing" proposition. The Des Moines model, in contrast, consists of several components so that if one component is not accepted in a community, others still may establish themselves. This in fact, occurred at each replication site. Because the Montgomery County PRC program model does not have distinct components, the failure of one part of the program may discredit the entire program.

The PRC program also can be more expensive than other models for several reasons. First, the high level of supervision and staff/client ratio both increase costs. Also, the capital outlay requirements may be significant because a more secure setting is required. In order to obtain a suitable facility, a community might have to construct one--as did Montgomery County. (The Montgomery County PRC, however, operated from a privately owned facility for several years before designing and building its own facility). Still, the construction costs and/or the operating costs of the PRC model are less than building and operating a new jail facility.

The PRC program model also is potentially less flexible than other program models. The more secure physical plant may not be readily adaptable to a changing client population. Staff and operating expenses may become an automatic authorization in the annual budget process. Much depends on capable administration and any jurisdiction planning to implement the Montgomery County model must not assume that management will automatically rise to the occasion. Inept or inadequate screening of clients may result in the acceptance of high-risk individuals whose behavior may jeopardize the entire program. There is also the danger that the facility could become "just another jail" and without adequate monitoring, there may be program deterioration and persons who formerly would have spent the last few months of their jail or prison term at the PRC may spend time at the PRC in addition to their institutional terms. This would prevent the PRC from alleviating institutional overcrowding and reduce client motivation for participating in the program.

In sum, the Montgomery County PRC is an attractive version of the community correctional center. As a program model it has proven effective and efficient when utilized in the proper locale and with an appropriate client population. While it is useful as a program model, it should be recognized that the Montgomery PRC operates the way it does because it is well managed. This is also an important factor in the successful operation of the other community correctional centers described in this report.

CHAPTER IV

THE PRIVATELY OPERATED PROGRAM MODEL

In many jurisdictions local government is, and will continue to be, the primary provider of correctional services. There are, however, numerous instances in which some correctional services are administered not by government but by private non-profit organizations. The privately operated community correctional center thus is our third program model.

This model is derived primarily from examination of three especially well-run private centers: Mahoning Residential Treatment Center in Youngstown, Ohio; Talbert House in Cincinnati, Ohio; and the Magdala Foundation in St. Louis, Missouri. Key characteristics of these community correctional centers are summarized in Table 1. Attention is focused on these particular centers in part because they were the first to receive accreditation by the American Correctional Association's (ACA) Commission on Accreditation for Corrections.

Establishment of this Commission in 1974, under an LEAA grant, represented a major effort by the correctional field to develop, promulgate, and apply operational standards to correctional services nationwide. Guided by by-laws and a statement of principles, the Commission developed some 1,300 standards for adult paroling authorities, community residential services, probation and parole field services, long-term institutions, and juvenile residential services. These standards initially were approved by a team of consultants and Commission members, field-tested by staff, and then approved for publication by the full Commission and the ACA Committee on Standards and Accreditation. Many of these standards have been field-tested and published in a variety of manuals.[1]

The published standards and commentary serve as the basis for the voluntary accreditation effort. The accreditation process involves peer review through a series of site visits to examine program operations and compares these with established standards. Accreditation is analagous to an independent audit performed by a certified public accountant or assessment of a university or college by an accrediting association. The three centers described here also were evaluated either by independent research organizations or by the agencies themselves; however, it is the ACA accreditation that serves as evidence of a particularly sound operation.

The privately operated community correctional center program model has certain characteristics that distinguish it from the two program models described in previous chapters. Managed by a private organization, it is operated as a non-profit business as opposed to a government agency. Also, because it lies outside of government, the private center has distinctly different relationships with other justice agencies and various levels of government, as well as different roles with respect to the control and confinement of offenders.

The private residential facility generally is a refurbished residence in an older residential neighborhood. In appearance it usually is the most non-institutional of the three program models described in this text. As an alternative to jail or prison commitment and also as a pre-release center, it performs both major functions of the other two program models.

These private centers consist of more than one community correctional facility since their clients include both men and women. Residential services tend to be less expensive than the other two program models, at least on a per-diem basis. Typically, referrals come from local courts, state probation and/or parole, the Federal Bureau of Prisons, and the federal probation system. Per-diem payments for residential services by these agencies make up a large part of the income of the organization; however, the sources of income generally are more varied than in the other two program models. Lacking the continuity of public funding, these centers show great creativity in generating income for their program.

Private community correctional centers are heavily involved with service delivery. Some centers provide most services directly; others depend primarily on services from other community agencies and see their role in terms of service "brokerage." The three community correctional centers portrayed here have much in common; but since each is in many ways unique they are described separately.

MAHONING COUNTY RESIDENTIAL TREATMENT CENTER, YOUNGSTOWN, OHIO

Setting

Mahoning County Residential Treatment Center, Inc., serves the greater metropolitan area of Youngstown, a community of about 353,000 people, largely supported by the steel mills of eastern Ohio.

Services

The Mahoning Center provides residential and out-client services for adult male felons and misdemeanants under the jurisdiction of a criminal justice agency (a residential program for youth recently was initiated as well). Services for adult residents include room and board, employment counseling, temporary work adjustment experience, vocational services, drug and alcohol treatment, and educational services.

Goals

Center goals are articulared by the Director:

> "The Mahoning County Residential Treatment Center is a center designed for the youthful male adult offender. It was originally formulated to serve the Mahoning County Common Pleas Courts by providing an alternative to sentencing. Now...the center accepts residents from all outlying county courts and persons released from federal and state institutions."[2]

THE PRIVATE COMMUNITY CORRECTIONAL CENTER PROGRAM MODE

Location Characteristics 3	Youngstown, Ohio
Name	Mahoning County Residential Treatment Center
Community Served Population	Mahoning County, Ohio, & greater Youngstown area 353,000 population
Sponsoring and/or Operating Agency	Mahoning County Community Corrections Assoc. Inc. (Private, non-profit) 1
Services Offered	Out-client & residential services, vocational, counseling, drug-alcohol, educational
Annual Operating Budget	\$845,925 [2]
Sources of Funds	Title XX State Corrections per diem Bureau of Prisons Ohio Youth Comm. CETA OJJAC Grant State Mental Health Work Adjustment CDA Request
Major Program Components	Unit I Residence Unit II Residence Work Adjustment Center

TABLE IV-1

EL -- YOUNGSTOWN, OHIO; CINCINNATI, OHIO; ST. LOUIS, MISSOURI

Cincinnati, Ohio	St. Louis, Missouri
Talbert House, Inc.	Magdala Foundation, Inc.
Greater Cincinnati area 1,000,000 population	St. Louis City, St. Louis County, St. Charles Co.; Franklin Co.; Jefferson Co.; 2,400,000 population
Talbert House, Inc. (Private, non-profit)	Magdala Foundation, Inc. (Private, non-profit)
Out-client & residential services, counseling, job assistance	Out-client & residential services, counseling, psychological, vocational & academic testing & evaluation, pre-vocational training, drug-alcohol counseling, job Training & placement
$1,700,000	$646,024
Bureau of Prisons per diem Ohio State Corrections per diem Title XX State Mental Health Community Chest Client Fees LEAA Department of Labor Narcotic Rehab. Act City/County Courts	Bureau of Prisons per diem State Div. of Corrections per diem State Div. of Probation & Parole per diem St. Louis City Welfare/Corrections (3rd Party Purchase of Service) State Div. of Family Services (Title XX) Dept. Mental Health-Drug Abuse & Alcoholism (Title XX) Client Fees
Residences: 2 Men's, 1 Women's Probation, Vendanta, Youth 621-Care, Ex-Offender Employment, COSOAP, Victim Assistance, Methadone	3 Men's Residences 1 Women's Residence Drug After Care Project

TABLE I

THE PRIVATE COMMUNITY CORRECTIONAL CENTER PROGRAM MODEL-- YOU

Location Characteristics 3	Youngstown, Ohio	Cin
Workload, by Program Component	Annual Admits / Average Stay (Mo) UNIT I 60 3 UNIT II 40 2 Work ADJ. 100 3 Youth Centers Pending Forensic Units Pending Newsletter New Prog.	Res 1) 2) 3) 4) 5) 6) 621 Ex- I COS Vic Met
Cost, by Program Component	UNIT I Residence $187,000 UNIT II Residence 86,000 Work Adjustment 198,000 Youth Centers 166,109 131,771 Forensic Units Newsletter 73,045	Res 1) 2) 3) 4) 5) 6) 621 Ex- COS Vic Met
Admission Criteria	Male Adults under Court or Parole authority; juvenile programs also available	Min chr psy dat cri
Referral Sources	State Parole 40% Federal System 10% Attorneys 20% Service Agencies 10% Self 20%	Par Mun U.S TAS

V -1(CONTINUED)

UNGSTOWN, OHIO; CINCINNATI, OHIO; ST. LOUIS, MISSOURI

ncinnati, Ohio			St. Louis, Missouri		
sidences:	Admits	Av. Stay (days)		Admits	Av. Stay (days)
Men	79	89	Women Residence	77	91.49
Men	71	80	Men's Residence	87	78.58
Women	65	90	Men's Residence	102	90.64
Probation	58	71	Men's Residence	103	80.34
Vendanta	51	117	Drug After Care	50	N/A
Youth	9	290			
l-Care	N/A	N/A			
-Offender Employment	691	N/A			
SOAP	1190	N/A			
ctim Assis.	N/A	N/A			
thadone	56	N/A			
sidences: Men 140,027 Men 142,362 Women 140,729 Probation 125,072 Vendanta 206,746 Youth 153,912 l Care 149,396 -Offender Employ. 273,159 SOAP 180,356 ctim Assist. 42,222 thadone 253,033			Residential Services average $22.50 per day		
nors, under 18; history of ronic violence, current ychosis, severe mental retardation, arson or organized ime not eligible			No minors. Active drug and/or drug users must be detoxified; history of repeated violence not eligible		
role nicipal & County Probation S. Bureau of Prisons SC			See Funding Sources above; Courts, & Parole		

TABLE IV-1 (CONTINUED)

THE PRIVATE COMMUNITY CORRECTIONAL CENTER PROGRAM MODEL--YOUNGSTOWN, OHIO; CINCINNATI, OHIO; ST. LOUIS, MISSOURI

Location Characteristics 3	Youngstown, Ohio	Cincinnati, Ohio	St. Louis, Missouri
Who Makes the Intake Decisions	Court and Parole System (criteria established by Director)	Program Director w/staff & consultant advice	Intake Committee
Facilities	Unit I: 15 bed min. security Men's Residence Unit II:10 bed min. security Men's residence	Six residential facilities; Two general purpose residences for men, one for women Others for probationers, drug users & youth	24 bed residence for women 21 bed residence for men 25 bed residence for men 25 bed residence for men Central Admin. housed in refurbished residence
Personnel, by type	General Administration 10 Residential Centers 17 Work Adjustment 7 34	120 Staff	35 Full Time and 4 Part Time Staff

NOTES: 1) County Commissioners act as sub-grantee in some grants

2) Proposed 1978/79 Budget

3) See narrative description for dates, costs & detail, etc.

The philosophy of the Center is expressed in the opening paragraphs of the contract each resident is expected to sign upon admission to the residential phase of the program:

> "The Mahoning County Residential Treatment Center is a treatment center available to you on a voluntary basis. Before anyone comes to the center, they must understand what is expected of them and what they expect of the treatment center. Mahoning County Residential Treatment Center was developed for the man who is ready to make a change in his lifestyle but may need some help. If you feel that you don't need or want to change your lifestyle, then the treatment center is probably not for you."

Administration

The center is incorporated as the Mahoning County Community Corrections Association, a non-profit corporation. It is governed by an 11-member Board of Directors and a 5-member Executive Committee. The Executive Committee consists of a chairman, vice-chairman, secretary, treasurer, and corresponding secretary. There are two types of "memberships," as described in the Association by-laws:[3]

> Group Memberships: Any group of individuals operating an agency or program which directly affects the criminal population or any group of concerned citizens interested in pursuing such an endeavor, which has requested a membership in the Corporation and wishes to participate in the Corporation's purposes and affairs shall be a member of the Corporation upon payment of the membership fee and annual dues as determined by the Board of Directors.
>
> Individual Membership: Any individual who subscribes to the purposes and basic policies of the Corporation, who has requested a membership in the Corporation shall be a member of the Corporation upon payment of the membership fee and annual dues as determined by the Board of Directors.

Represented on the Board of Directors are local criminal justice leaders, citizens, and social service providers. The administrative organization of the corporation is illustrated in Figure 1.

Program Operations

The Youngstown Center includes two residential facilities, each with a structured treatment program. The residences, refurbished older buildings in the downtown area, are clearly non-institutional in both appearance and operation.

The residential and community-based corrections service components of the Center evolved from rather modest beginnings.

Initially only a small inmate services project operating out of the Mahoning County jail, the program developed into a fledgling storefront counseling service for offenders. Both public officials and citizens who participated in the creation of the Center found it more convenient and more efficient to organize the delivery of some correctional services privately than to do so as part of government. Thus, as the program was enlarged, it moved from under the protective wing of a supportive county government to its current status as a private non-profit organization. As its name suggests, however, the Mahoning County Community Corrections Association retains strong ties to local government. The Board of Directors is a mix of private citizens and public officials; and, county commissioners have served as "subgrantee" for some of the funding that has been funneled through government agencies to support the Center. The Center thus operates as a quasi-governmental organization, benefiting from its close association with government, but achieving independence and flexibility through its private, non-profit status.

The first residential component, a 15-bed operation funded by LEAA, was opened in 1975. Today, there are two residential centers with combined bed capacity of 25. Funding for a new 10-bed residential center for adolescents and an 8-bed forensic center for mentally retarded offenders recently was approved.

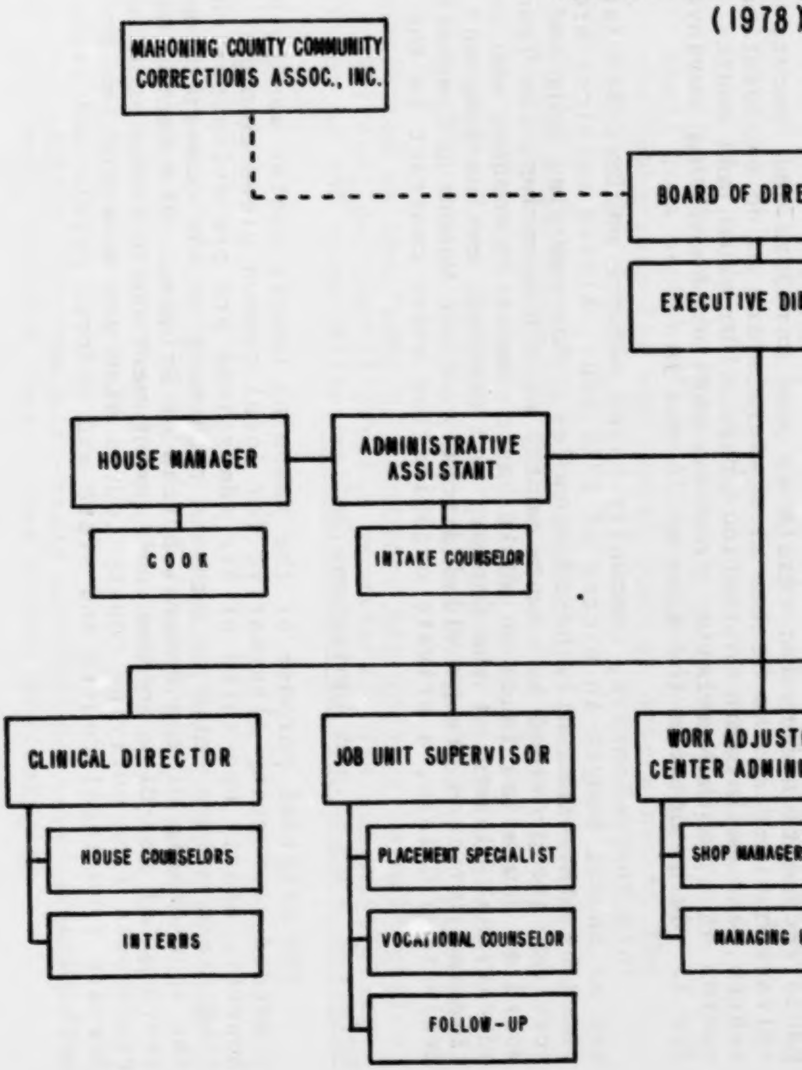
The program also includes a work adjustment center, which provides pre-vocational training for 40 adult participants. This program offers a 12-week sheltered workshop experience in which residents and non-residents can observe, learn, and practice good work habits. Participants recondition cars for resale at used car lots and operate a metal salvage business. The Center also administers a job exploration, job search, and employment motivation program for youth and adults. Publication of a Youth Newsletter provides sheltered-workshop employment for 15 youths between the ages of 16 and 19.

This comprehensive, community-based network employs 34 staff and has an annual budget in excess of $750,000. Allied services are provided by other community-based agencies. For example, drug and alcohol services are provided by county mental health agencies; the Youngstown Board of Education funds an adult basic education teacher who conducts educational classes at the Center; and testing, evaluation, and some clinical services are provided directly by the Mahoning Diagnostic and Evaluation Clinic, a private organization under contract to the Center.

Referral Sources and Admissions Policy

The original purpose of the Mahoning County Center was to provide a needed sentencing alternative for local common pleas courts. Today, however, nearly one-third of its admissions are pre-releasees completing state prison terms or persons returning to the community under the sponsorship of the Federal Bureau of Prisons. The Center has residential per-diem contractual arrangements with these agencies. Placements from outlying county courts also are accepted, as are referrals from local courts and state and federal parole and probation authorities.

FIGURE IV
YOUNGSTOWN,
MAHONING COUNTY RESIDENTIA
ADMINISTRATIVE C
(1978)


MAHONING COUNTY COMMUNITY CORRECTIONS ASSOC., INC.
BOARD OF DIRE
EXECUTIVE DI
HOUSE MANAGER
ADMINISTRATIVE ASSISTANT
COOK
INTAKE COUNSELOR
CLINICAL DIRECTOR
HOUSE COUNSELORS
INTERNS
JOB UNIT SUPERVISOR
PLACEMENT SPECIALIST
VOCATIONAL COUNSELOR
FOLLOW-UP
WORK ADJUST
CENTER ADMINI
SHOP MANAGER
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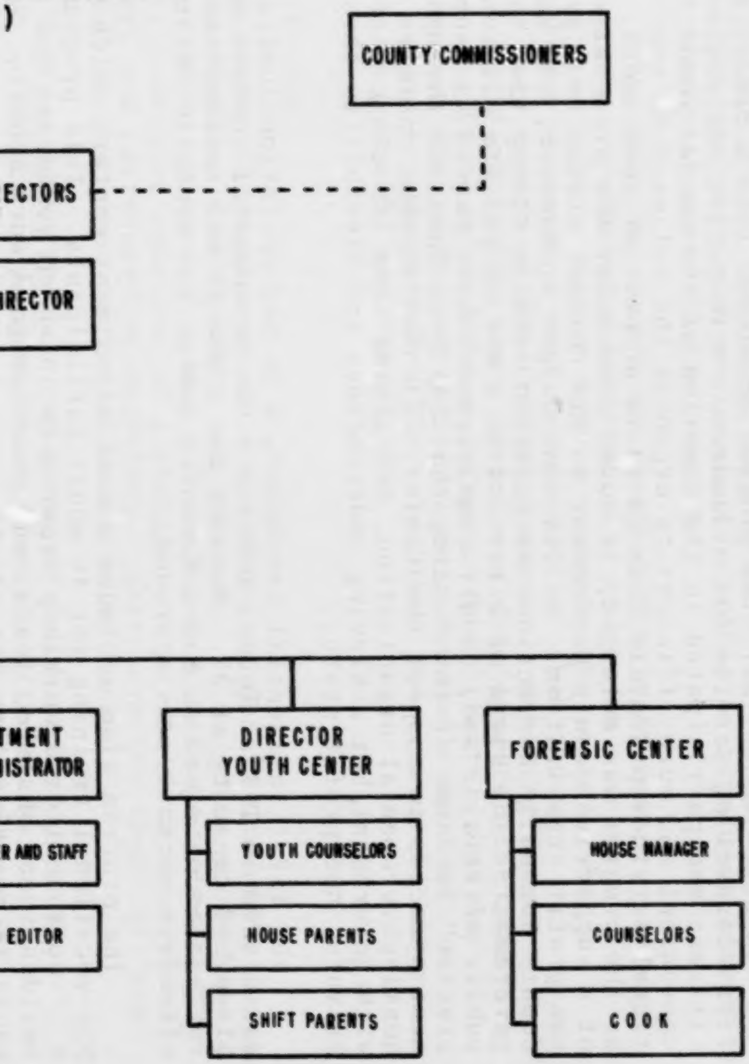

COUNTY COMMISSIONERS
ECTORS
IRECTOR
TMENT
ISTRATOR
R AND STAFF
EDITOR
DIRECTOR
YOUTH CENTER
YOUTH COUNSELORS
HOUSE PARENTS
SHIFT PARENTS
FORENSIC CENTER
HOUSE MANAGER
COUNSELORS
COOK

To qualify for Center participation, an individual may be either a misdemeanant or a felon, but he must be under the jurisdiction of a sentencing court or a state or federal paroling authority. Ineligible are persons with chronic assaultive behavior or those addicted to drugs or alcohol.

Once admitted to the Center, the resident undergoes an orientation period in a highly structured residential program. He is asked to prepare a written "contract" concerning specific expectations and goals and is then guided through four in-residence phases, each requiring more responsibility and accompanied by greater freedoms. Progression through these phases is directly related to accomplishments and fulfillment of the contract. A fifth phase allows the individual to maintain contact with the Center after release.

Workload and Performance Indicators

From January 1 through December 31, 1977, the Center provided services to 166 felons; 129 were residents and 37 were out-clients. Of these 166 persons, 86 percent completed the program successfully. The remainder were removed from the program and returned to the court of original jurisdiction.

The Center's annual report indicates that about 9 percent of clients completing the program have either violated a condition of parole or probation (4 percent) or committed a subsequent offense (5 percent).

> "The data also reveals that for the 91% who continue to be in the community, the average earning rate is $3.48/hr. This projects to an annual earning rate for all clients employed of $825,177. Taxes paid on these earnings approximate $123,776...When one compares this data to the demographics of the population the outcome data becomes even more impressive. Despite an average age of 23.6 years, nearly 89% of the population never worked longer than six months in an employed position, and 54% never worked at all. In all other areas the data reflects a representative sample of the felon population in terms of race, education, and prior records..."[4]

Additional workload statistics are presented in Table 2.

Financing

For FY 1978-79 the proposed budget totals $845,925. Although it is difficult to break down these costs by program component, approximate costs for each major organizational unit are presented in Table 3. Table 4 indicates the variety of sources of funds to operate the Center.

Title XX of the Social Security Act provides money for residential treatment for indigent offenders. The State Department of Rehabilitation and Corrections and the Federal Bureau of Prisons provide $15.04 and $26.00 per day, respectively, in residential per-diem allowances. Titles I, III and VI of the Comprehensive Employment Training Act (CETA) authorize the Ohio Employment and Training Consortium to provide skill training, on-the-job training contracts with private employers, funding for a public service employee, financial support for 40 participant vocational training positions, and funds to operate the Youth Newsletter project.

> "The program cost per client computes to $1,590, which is well below the institutional costs, untaxed labor, and expanded welfare costs incurred if incarceration were effected."[5]

Although LEAA funds no longer are used to support the Center, they have been used as "seed money" to initiate certain program components. Local community development agency funds and federal Office of Juvenile Justice and Delinquency Prevention funds have been requested to support the start-up costs of new program components. It is significant that the Center is not dependent on the county for direct financing. This sophisticated mix of funding arrangements evolved gradually and reflects careful planning and coordination with public sector correctional agencies and sources of financing. Clearly, privately operated community correctional centers must be carefully planned, implemented, and coordinated with correctional services from the public sector. This subject is discussed more fully in Chapter V.

TALBERT HOUSE, CINCINNATI, OHIO

Setting

Talbert House, Inc., serves the greater Cincinnati metropolitan area, an urban center containing over one million people.

Services

This private, non-profit organization operates six residential facilities and a variety of out-client programs. Residential facilities include two for adult male ex-offenders and one facility each for adult male probationers, adult female ex-offenders, adult drug abusers, and youth. Each facility offers a structured treatment program with both group and individual counseling and a variety of referral and support services. The residences are refurbished older homes not far from downtown Cincinnati.

Goals

Talbert House originally was created to assist state prisoners in returning to the community; however, the scope of the program has expanded as the community has turned to Talbert House for assistance in meeting newly identified needs.

> "Talbert House strives to provide a proper climate for a fluid transition of the ex-offender from prison to the community; to counsel and assist the adult drug abuser (also operate a methadone clinic); deal with the problems of the adolescent drug user; provide an alternative to

Table IV-2
Youngstown, Ohio

Mahoning County Residential Treatment Center: 1977
Admissions, Daily Population, Length of Stay, By Program Component

Program Component	Annual Admissions	Average Daily Population	Average Length of Stay (months)
Unit I Residence	60	15	3
Unit II Residence	40	10	2
Work Adjustment Center	100	30	3

Table IV-3
Youngstown, Ohio

Mahoning County Residential Treatment Center: FY 1978-79 Approximate Costs, By Program Component

Program Component	Approximate Cost
Unit I Residence	$187,000
Unit II Residence	86,000
Work Adjustment Center	198,000
Youth Centers	166,109
Forensic Units	131,771
Newsletter	73,045

Table IV-4
Youngstown, Ohio

Mahoning County Residential Treatment Center: FY 1978-79 Funding Sources and Amounts

Source	Amount
Title XX Social Security Act	$106,000
State Corrections Per Diem	96,000
U.S. Bureau of Prisons	9,000
Ohio Youth Commission	2,000
Comprehensive Employment and Training Act (CETA)	101,045
OJJAC Grant (State Criminal Justice Planning Funding)	166,109
State Mental Health	131,771
Work Adjustment Center Receipts	87,000
Community Development Agency Request	76,000

> incarceration; be of assistance to the victims of criminal offenses; provide crisis intervention through a twenty-four hour telephone switchboard and walk-in center and counsel/secure employment for the ex-offender."[6]

Administration

Talbert House is governed by a 25-member Board of Trustees, nine of whom are members of the Executive Committee. The Executive Committee is composed of the officers of the corporation and up to three additional members appointed by the president with the approval of the Board.

Nine special committees allow Board members close and continuing involvement in corporate business. These committees are entitled: Nominating, Public Relations, Membership,[7] Program and Special Events, Finance, Executive, By-Laws, Personnel, and House Committee.

The administrative organization of Talbert House is illustrated in Figure 2.

Program Operations

Major program components of Talbert House are reflected in the organizational units depicted in Figure 2. There are six residential programs:[8]

- Halfway House for Men. First Talbert House program, started in 1965. Capacity: 17. Funded by per-diem from Bureau of Prisons, Ohio Adult Parole Authority. Average stay: 3 months.
- Halfway House for Men. Opened in 1969. Capacity: 17. Funded as above. Offers similar programs (individual counseling, group counseling, vocational and employment placement).
- Halfway House for Women. Opened in 1971. Capacity: 15. Average stay: 4 months. Similar program as men's residences. Funded by the City, Hamilton County, Adult Parole Authority, Federal Bureau of Prisons per-diem; and Title XX.
- Halfway House for Probationers. Opened in August 1975. Probationers only. Capacity: 16 men. Funded by LEAA, Hamilton County, and Ohio Adult Parole Authority.
- Vedanta. An adult therapeutic community for drug abusers, opened in 1971. Average stay: 8 months. Co-educational. Capacity: 28. Funded by Central Community Health Board, Adult Parole Authority, Hamilton County.
- Residential Youth Treatment Program. Opened 1970. Residential program for 9 males and 9 females with drug and mental health problems. Ages 14-17. Funded by 648 Board, Community Chest, fees.

Other Talbert House program components[9] include:

- COSOAP (Comprehensive One-Stop Offender Aid Program). Provides a multitude of services under one roof. Includes intake, clinical services and testing, welfare, legal aid, educational and job placement. Funded by LEAA, Greater Cincinnati Foundation, Episcopal Diocese, City of Cincinnati, and CETA. Opened in 1975.
- Ex-Offender Employment Program. Assisting offenders in vocational and job readiness, counseling for vocation training, testing. Works with 5,000-8,000 per year. Opened in 1978. Funded by City of Cincinnati CETA funds.
- 241-WORK. A temporary day labor program is also a component of this program.
- 621-CARE. A 24-hour switchboard and crisis center. Averages 4,500 calls a month. Provides back-up services for mental health catchment areas and Community Chest Information and Referral. Funded by 648 Board, City of Cincinnati, Community Chest. Opened in 1971.
- Victim Assistance Program. Opened in July 1976. Provides advocacy services to victims of crime. Counseling by telephone or person-to-person also provided. Over 1,000 victims were served during the first two years.
- Methadone Treatment Program. Program taken over from the City of Cincinnati on July 1, 1977. Provides methadone treatment for 150 drug addicts.

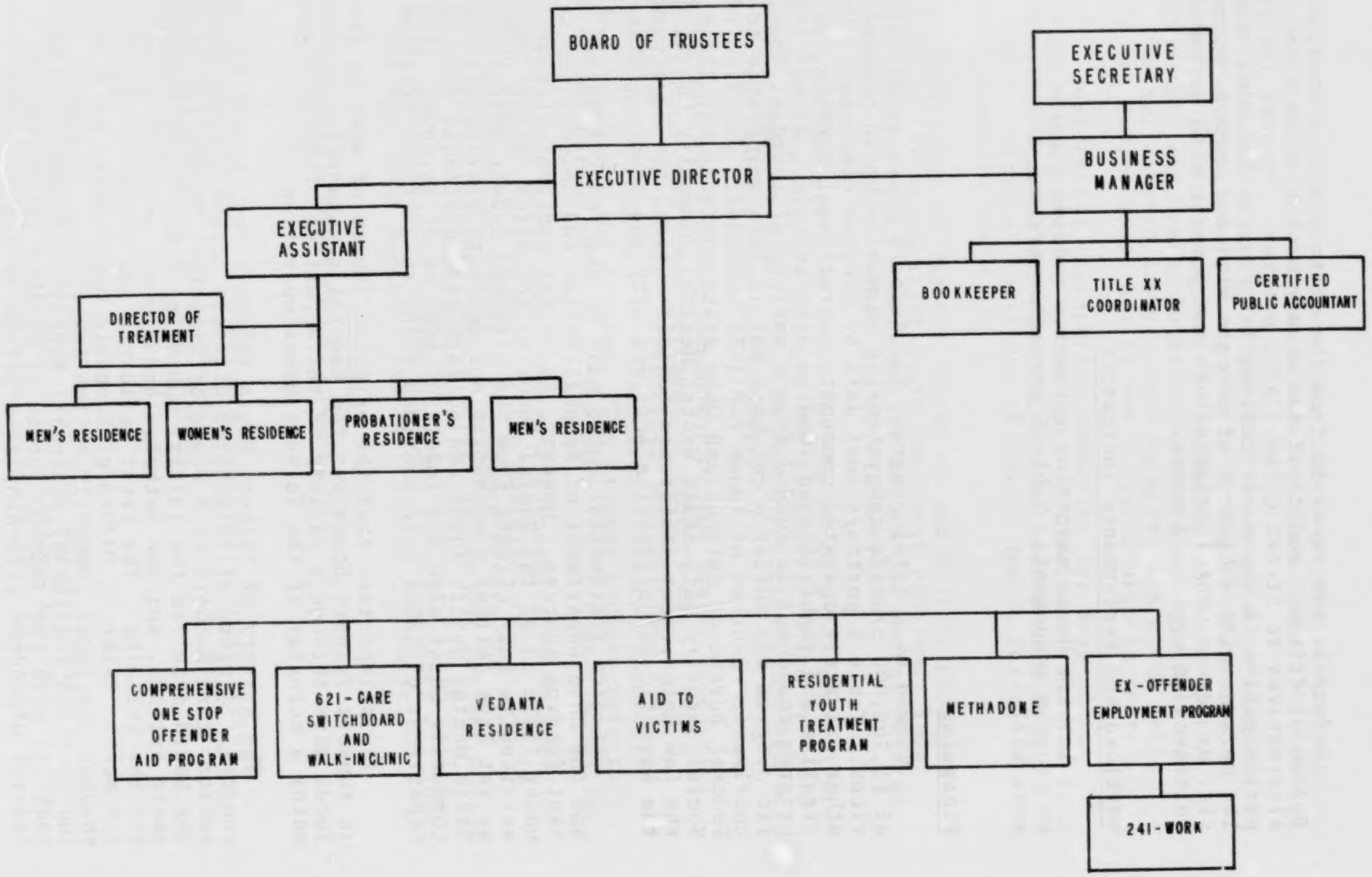
Close working relationships with varied funding sources and with federal, state, and local governments characterize the 12-year history of Talbert House. The relationships which have been developed play a large part in the success of the Talbert House program. The trust and faith in Talbert House management and services, and the cooperation and coordination that exists today, is the result of a continuous effort to build credibility and confidence. A community correctional center will experience a certain number of critical incidents during its history. Surviving these difficult experiences is dependent upon the support and good will of local, state and federal governments and, of course, the public.

Referral Sources and Admission Policy

The director of each program, with staff and consultant advice, determines who will be admitted to the Talbert House residential and out-client programs. The residential programs admit adult male and female felony offenders. Selected youth with drug and mental health problems are admitted to the youth treatment program and out-client services also are provided through COSOAP to a wide range of adult offenders.

FIGURE IV 2

CINCINNATI, OHIO
ADMINISTRATIVE ORGANIZATION TALBERT HOUSE, INC.
(1978)


BOARD OF TRUSTEES
EXECUTIVE SECRETARY
EXECUTIVE DIRECTOR
BUSINESS MANAGER
EXECUTIVE ASSISTANT
BOOKKEEPER
TITLE XX COORDINATOR
CERTIFIED PUBLIC ACCOUNTANT
DIRECTOR OF TREATMENT
MEN'S RESIDENCE
WOMEN'S RESIDENCE
PROBATIONER'S RESIDENCE
MEN'S RESIDENCE
COMPREHENSIVE ONE STOP OFFENDER AID PROGRAM
621-CARE SWITCHBOARD AND WALK-IN CLINIC
VEDANTA RESIDENCE
AID TO VICTIMS
RESIDENTIAL YOUTH TREATMENT PROGRAM
METHADONE
EX-OFFENDER EMPLOYMENT PROGRAM
241-WORK

Referrals are received from the state parole system, the Federal Bureau of Prisons, municipal and county probation, and the Treatment Alternatives to Street Crime (TASC) program. Persons ineligible for participation in the adult residential program include: minors under 18; persons with a history of chronic violence, arson, current psychosis, or severe mental retardation; and persons with histories of involvement in organized crime.

Workload and Performance Indicators

Talbert House maintains extensive records concerning workload by program component. Table 5 presents workload information for the year 1977.

Financing

Viewed as a total program, 120 Talbert House staff, with a budget of $1,700,000 provide comprehensive community-based corrections services. Table 6 portrays cost data by program component. Here, as in other privately operated community correctional centers, are found creative and sophisticated funding arrangements. Significantly, each program component is funded from a variety of sources; thus, any specific program may suffer a cut-back but is less vulnerable to being discontinued. Sources of funds for 1977 included: per-diem from the Federal Bureau of Prisons and Ohio state corrections; Title XX of the Social Security Act; State Mental Health; Community Chest; client fees; the Law Enforcement Assistance Administration; the Department of Labor; the Narcotic Rehabilitation Act; and city and county courts.

Per-diem residential costs paid by the Federal Bureau of Prisons and the Ohio Department of Rehabilitation and Corrections are important funding sources. However, funds for indigent offenders provided under Title XX of the Social Security Act allow Talbert House to offer services to many clients from the city and county courts (these agencies as yet have neither a mechanism nor funds to provide per-diem payments). State Mental Health funds and dollars made available through the Community Chest also are important sources of revenue. LEAA, HEW, and Department of Labor have provided funds to initiate programs.

It is important that the original source of most of the monies to support Talbert House was the federal government. Although the funds move through a variety of third parties, federal financing remains a mainstay of the Talbert House operation.

The history of Talbert House reflects the variety of funding sources. A group of interested citizens formed a study group and later became core members as a Board of Directors formed for incorporation. The board acquired the initial operating money among themselves and their friends, and the Catholic Archdiocese provided an old rectory for the building. The first residence was opened in August 1965. Six months later an Office of Economic Opportunity grant was acquired through the local Community Action Commission. Community Chest funding provided additional financial support beginning in 1968 as did a contract with the Federal Bureau of Prisons to provide services to federal offenders returning from prison in a pre-release program.

Shortly thereafter Talbert House was selected to provide a drug addict aftercare program under the federal Narcotic Addict Rehabilitation Act.

The organization thus was in a position to respond to community concern about drug abuse among young people during the late 1960's. A coffee house and 24-hour switchboard was funded by the Hamilton County Mental Health and Mental Retardation Board and the City of Cincinnati. The switchboard now responds to more than 4,000 calls per month and the coffee house has become a crisis drop-in center.

In 1970, a residential therapeutic community for drug addicts was started with funds provided by the City of Cincinnati and Hamilton County. Subsequent funding was provided by the Office of Economic Opportunity and the National Institute of Mental Health through the Central Community Health Board.

The U.S. Department of Health, Education and Welfare provided initial funding of the residential youth treatment program. Today the program is financed with county Mental Health and Mental Retardation funds, Community Chest funds, and client fees.

The LEAA provided start-up funds for the women's residential program. Today, per-diem charges support the facility. These are paid by the Ohio Department of Rehabilitation and Corrections, the Federal Bureau of Prisons, and the city and county.

The employment and training component of the Center began with financial assistance from the Department of Labor's Concentrated Employment Program. In the spring of 1974, LEAA provided funds to expand the program to include job readiness assistance, counseling for vocational training, and testing. The program accepts referrals from probation and parole and now serves over 700 offenders annually.

The residence for adult probationers was established to serve both the common pleas court as well as the municipal court. It is funded by LEAA and Hamilton County. The Comprehensive One-Stop Offender Aid Program, (COSOAP), which serves as the out-patient multi-service Center of the Talbert House special service delivery system, is funded by a combination of monies provided by the Greater Cincinnati Foundation, the Episcopal Diocese, and the City of Cincinnati.

MAGDALA FOUNDATION, ST. LOUIS, MISSOURI

Setting

The Magdala Foundation is a private non-profit organization serving the five-county metropolitan area of St. Louis, Missouri, an area of approximately three million persons.

Services

The Magdala Foundation operates four residential treatment programs and a drug aftercare program. The residences are refurbished older homes, clearly non-institutional in character, and integral

Table IV-5
Cincinnati, Ohio

Talbert House: 1977 Workload By Program Component*

Program Component	Admissions	Average Daily Population	Average Length of Stay (days)
Residences:			
Men	79	17	89
Men	71	17	80
Women	65	13.5	90
Probation	58	14	71
Vendanta	51	17	117
Residential Youth Treatment	9	13	290
Other:			
621-CARE	N/A	(1)	N/A
Ex-Offender Employment Program	691	25	N/A
COSOAP	1190	N/A	N/A
Victim Assistance	N/A	5(2)	N/A
Methadone	56	78	N/A

1. 2 walk-in; 150 calls per day
2. Client contacts per day

*Source: Talbert House Executive Assistant

Table IV-6
Cincinnati, Ohio

Talbert House: 1977 Budget, By Program Component*

Program Component	Costs
Residences:	
Men	$140,027
Men	142,362
Women	140,729
Probation	125,072
Vendanta	206,746
Youth	153,912
Other:	
621-CARE	149,396
Ex-Offender Employment Program	273,159
COSOAP	180,356
Victim Assistance	42,222
Methadone	253,033

*Source: Talbert House Executive Assistant parts of older residential neighborhoods. The Foundation also offers a range of services, including individual and group counseling, psychological services and testing, and employment services. Referrals are made as needed to appropriate community resources for medical, vocational, and other services.

Goals

Magdala Foundation was organized by a group of citizens from the St. Louis metropolitan area who were primarily interested in assisting the female offender, particularly those released from the St. Louis city jail and from the state institution at Tipton. Today, the organization serves both women and men, but its programmatic focus remains the same:

> "The purpose of the Corporation is to provide rehabilitation and other services to the public offender, regardless of race, creed, color, sex or national origin, through supportive care, training, guidance and other services."[10]

In addition to the overall goals of the organization, which appear in the annual reports, the by-laws, and the articles of incorporation, an annual statement of objectives is developed as part of the management-by-objectives approach of the Foundation.

Administration

Like the two organizations discussed earlier in this chapter, Magdala Foundation is a non-profit, charitable, tax-exempt corporation. The Foundation has received certification from the Missouri Department of Mental Health as a drug and alcohol abuse treatment program and accreditation from the ACA Commission on Accreditation for Corrections. It, too, is governed by a Board of Directors and an Executive Board. The Executive Board has five members: a chairman, president, executive vice-president, secretary and treasurer. An executive director serves as professional manager of the corporation.

An indication of Magdala's Foundation's management approach is illustrated by its administrative organization. Asked for a copy of their organization chart, Foundation representatives produced its "Link Pin Organization of Accountability and Communications," which appears in Figure 3. Staffing of key positions appears in the same illustration. The organization employs 35 full-time and four part-time employees.

As was the case for the two Centers described earlier, management style and treatment approach combine to create an organization with a distinctive character and a pervasive philosophy that serves to guide all aspects of the operation. Magdala Foundation, for example, is committed to a management-by-objectives approach. Quantifiable, measurable performance objectives are established and a sophisticated management information system provides quarterly measures of results. The treatment program at Magdala Foundation relies heavily on reality behavior models. Contracts, developed by all clients, include clear, measurable performance indicators. Clients move through distinct program phases based upon objective behavioral indicators of their ability to handle increased responsibility. The two pillars of management-by-objectives and reality behavior treatment techniques converge to serve as the philosophic foundation of the enterprise and determine its basic character.

Program Operations

From 1965 to 1967 the citizen organizers of the Foundation visited women in the city jail and state prison and provided services to releasees on an out-client basis. At the same time they sought funds to establish a residence for women. By 1968, the group had formed a corporation and purchased a residence in the Lafayette Square area of St. Louis. This was made possible by two grants from the Department of Health, Education and Welfare; one grant was awarded to renovate and equip the facility, the other to operate it. Subsequent expansion to include male offenders was made possible by additional grants from Model Cities and the State Planning Agency.

> "By 1970, a year prior to the expiration of the last grant from HEW, a final determination was made after months of discussion, that we should expand our services to include the male offender. An appropriate change in the Articles of Incorporation was made and the Corporation applied for grants from the St. Louis Model Cities Agency and what was then known as the Missouri Law Enforcement Assistance Council (The State Planning Agency) both for the continuation of the women's residential center and for the establishment of an additional residential center for men."[11]

Funds from these two grants enabled the continuation of the women's facility and establishment of a residence for men. A former convent was acquired to serve as the men's facility and grant funds were utilized to refurbish and equip the building. At about the same time, Magdala Foundation established an out-client program, located in the same building as the corporate administrative offices in a residence next door to the original men's residence.

> "In 1973, LEAA announced the advent of the High Impact Program. The corporation applied for and received additional grants from LEAA's High Impact Program as well as from Model Cities to establish two additional residential centers for men. One of the centers was purchased from the Salvation Army...and the other was purchased from a private individual...Both centers opened in 1974."[12]

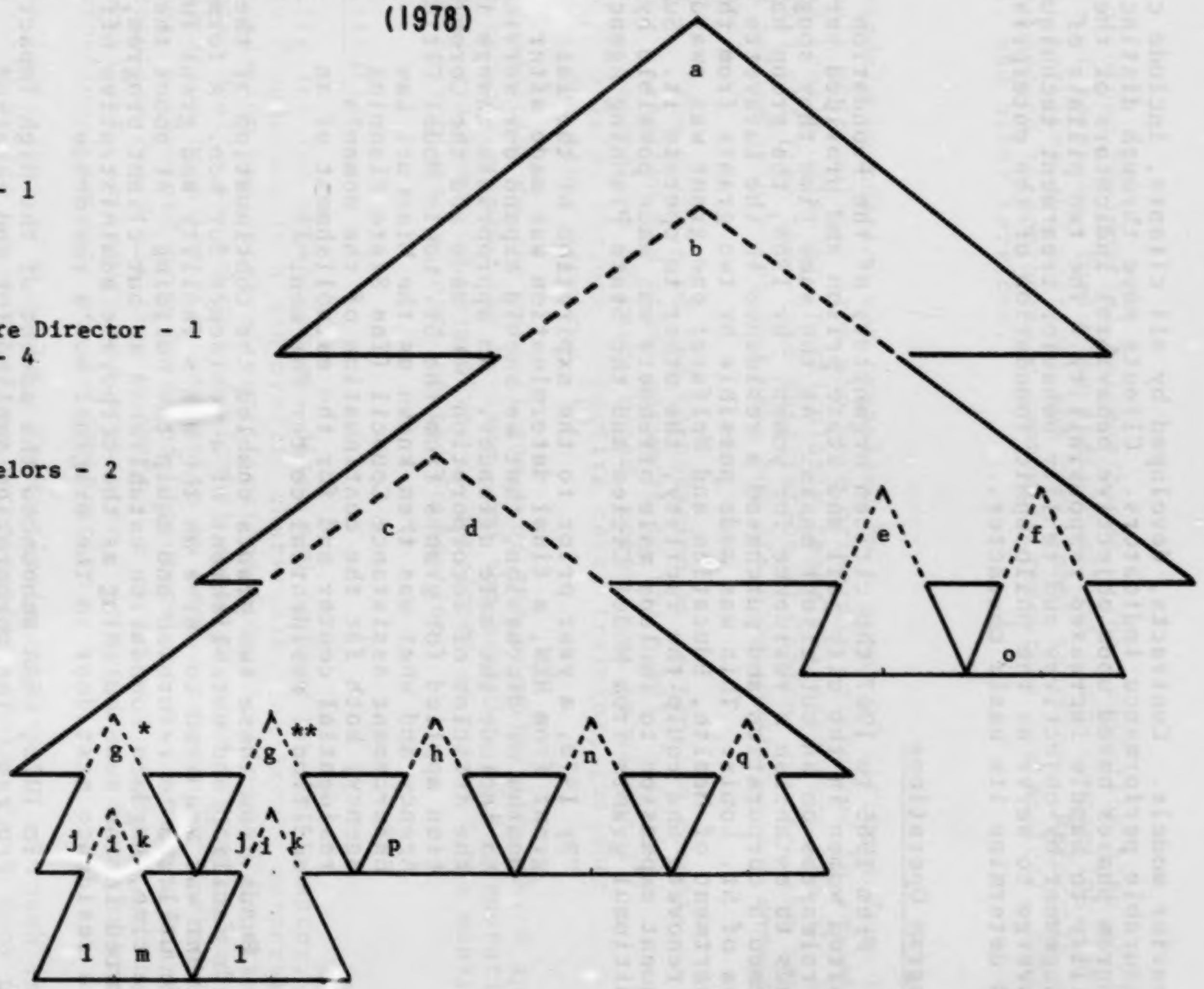
Today, the agency has four residential program components and it operates a drug aftercare program for the Federal Bureau of Prisons on an out-patient basis. Each residence has a structured and well-supervised program with its own unique treatment philosophy. A token economy is the treatment strategy at the residence for women and at one of the men's residences. Reality therapy is the major theme at a second men's residence, and transactional analysis is the major treatment modality at a third. Each program requires the resident

FIGURE IV-3

ST. LOUIS MISSOURI
MAGDALA FOUNDATION
LINK PIN ORGANIZATION OF ACCOUNTABILITY AND COMMUNICATIONS
(1978)

POSITION KEY

a = Executive Board
b = Executive Director - 1
c = Asst. Executive Director - 1
d = Director of Treatment - 1
e = Comptroller - 1
f = Executive Secretary - 1
g = Residence Director - 4
h = Vocational & Drug Aftercare Director - 1
i = Asst. Residence Director - 4
j = Residence Secretary - 4
k = Cook/Housekeeper - 2
l = Residence Counselors - 14
m = Part Time Residence Counselors - 2
n = Psychometrist - 1
o = Clerk Typist - 2
p = Drug Aftercare Aide - 1
q = Outpatient Counselor - 1



* Same for two Residential Centers (L = 3 Res. Counselors, m = 1 P.T. Res. Counselor)
** Same for two Residential Centers (L = 4 Res. Counselors)

to move through successive stages of treatment accompanied by gradually increasing responsibilities and rewards.

Referral Sources and Admissions Policy

The agency serves many types of clients: persons on pretrial release, pre-release, and work release, as well as persons on probation or parole. Referrals are received from every major correctional agency in the area, but since the number of these referrals is related to the referring agency's willingness and ability to pay the per-diem costs of residential placement the Foundation admits primarily state and federal pre-release cases.

The agency accepts both men and women, age 17 or older, who are under some form of court jurisdiction. Minors are excluded, as are persons with a history of repeated violence. Active drug and alcohol cases must be detoxified before they can be admitted.

Referrals also are received from the St. Louis City Department of Welfare, which has jurisdiction over the city jail and the medium-security institution. The Ohio Divisions of Corrections and Family Services, and Board of Probation and Parole, the Federal Bureau of Prisons, and federal probation system also refer clients to the Foundation.

Workload and Performance Indicators

Magdala Foundation admits approximately 400 men and women to the residential portion of the program during any given year, and approximately 50 receive services in the drug aftercare program. Normally, the residences operate at 83-85 percent occupancy. Workload figures for 1977 are presented in Table 7.

> "During 1977, a total of 483 (including those admitted during the year and those in residence at the start of the year) offenders were served in the four centers. Of the 371 released during 1977, eighty-nine percent (89%) were released successfully. Employment was high despite the fluctuations and uncertainties of the job market. Eighty-seven percent (87%) were released holding a full time job. The average pay per hour was $3.17. Residents reported earnings of $214,083 and at least $29,757 was paid in federal, state and local taxes."[13]

The drug aftercare program, started in November 1977, provides services to the Federal Bureau of Prisons and probation and parole clients. During the first month of operation it enrolled 17 persons and by November 1, 1977, the caseload was 50. Two individuals were discharged during December 1977. The limited data available reveal that of these 20 individuals 15 were male, 18 were black, and 14 were unemployed or employed only part time; the average age was 29.5 years.[14]

The completeness of the Magdala Foundation's management information system and the straightforward, pragmatic measures used to assess performance provide an excellent illustration of the way in which a community correctional center can evaluate its own performance and use this information in revising and managing its program. The Foundation has formulated objectives in seven key areas: program; policy; staff and volunteer supervision and development; community and staff relations and communications; records, reports, and research; facilities, equipment, and supplies; and finances. Table 8 lists ten programmatic objectives for 1977. Performance indicators, which permit calculation of results or program performance for that year, are listed in Table 9.

Table IV-7
St. Louis, Missouri

Magdala Foundation: 1977 Workload, By Residence*

Residence	Admissions	Average Daily Population	Average Length of Stay (days)
Residence 1	77	21.1	91.49
Residence 2	87	17.2	78.58
Residence 3	102	24.0	90.64
Residence 4	103	23.4	80.34

*Source: Magdala Foundation Assistant Executive Director

Table IV-8
St. Louis, Missouri

Magdala Foundation: 1977 Residential Program Performance Objectives And Results

Objective	Results*
1. Percent of all clients released from Agency programs with a Constructive Day..................60%	#9, #16, #20, #25
2. Minimum amount of hourly wage of all full time job Constructive Day release..................$2.70	#22
3. Minimum weekly percent of all program clients engaged in a Constructive Day..................60%	#9, #16, #20, #25
4. Minimum number of individuals to be served during 1977..........400	#1, #2, #3, #4
5. Percent of all individuals accepted into the Agency programs successfully completing the program.......................90%	#19
6. Percent of Residential clients earned net income placed into a savings account..................20%	#26
7. Maximum percent of Residential clients leaving program within the first 21 days of entrance.....15%	#18
8. Number of days for Residential clients from entrance into program to first Constructive Day....up to 48	#9, #16
9. Maximum percent of Residential clients absconding, escaping or running away..................10%	#23
10. Maximum percent of clients being terminated from the program.......30%	#24

*Indicator numbers listed in Table 9.

Table IV-9
St. Louis, Missouri

Magdala Foundation: 1977 Program Results Indicators

I. All Clients (Residential)		1977
Indicator #		
1	Avg. Daily Population	85.7
2	Number Served	453
3	Number Entering	369
4	Number Released	371
5	Avg. Weekly in Employment	43.9
6	Avg. Weekly Percent Employed	51.0%
7	Avg. Weekly in Training	8.5
8	Avg. Weekly Percent in Training	10.0%
9	Avg. Weekly Percent in Constructive Day (1)	61.0%
II. Released Clients Only		**1977**
Indicator #		
10	Avg. Age	24.6
11	Percent Black	60.0%
12	Percent White	40.0%
13	Referral Source by Percent:	
	Federal	26.0%
	State	72.0%
	Other	2.0%
14	Percent Served Following Incarceration	64.0%
15	Percent to Negotiate Service Contract (2)	91.3%
16	Percent to Establish a Constructive Day	74.3%
17	Avg. Length of Stay	86 Days
18	Percent Released Within First 21 days (3)	10.0%
19	Percent Successful (4)	89.0%
20	Percent of Constructive Day Releases	64.8%
21	Percent Released With a Full Time Job	87.0%
22	Avg. Pay Per Hour Holding a Full Time Job	$3.17
23	Percent Runaways, Absconded, Escapees	17.8%
24	Percent Termination Rate	31.8%
25	Percent of:	
	(a) Program Completion (5) (01 Level)	31.5%
	(b) Partial Completion (6) (02 Level)	13.3%
	(c) Legal Status Discontinued (7) (03 Level)	14.8%
26	Avg. Client Savings	$79.29

(1) through (9): See following page for definitions

Definitions (used in Table 9):

(1) Constructive Day: A client is involved in an activity or a combination of activities within the community for a minimum of thirty-five (35) hours per week and is producing a minimum gross income of $84 per week. Activities may include employment, education, training, and volunteer work.

(2) Negotiate Service Contract: A mutual agreement between the client and staff that specifies the nature of a client's Constructive Day and the community services needed by the client in order to obtain a Constructive Day.

(3) Release Within First 21 Days: Indicator of insufficient exposure to the program, which has a bearing on outcome (results) information.

(4) Successful: Individual left program and entered the community. Failure means that a client left the program as a result of being incarcerated for a new offense or was a prisoner who either escaped or was terminated.

(5) Program Completion (01 Level): Client maintains Constructive Day from between 5 to 7 weeks and saved 15% of gross earnings.

(6) Partial Completion (02 Level): Client has less than 5 to 7 weeks Constructive Day activity and 15% gross income saved, but staff, in conjunction with client and legal authority, agreed to early release.

(7) Legal Status Discontinued (03 Level): Client has not achieve 01 goals and was released because his legal status was changed (i.e., pretrial release or prisoner whose "date" comes, parole, mandatory release, expiration).

Table IV-10
St. Louis, Missouri
Magdala Foundation: FY 1977-78 Operating Budget*

Item	Expenditure
Personnel	$486,701
Contractual Services	5,647
Travel	8,800
Utilities	41,167
Household Supplies	54,100
Administration	32,800
Other Supplies	12,244
Depreciation	4,565
TOTAL	$646,024

*Source: Magdala Foundation Assistant Executive Director

Financing

The Magdala Foundation had a FY 1977-78 budget of $646,024, as shown in Table 10. The daily residential cost was $22.50.

From 1968 through 1975, the Foundation relied almost exclusively on grants. Now, however, in contrast to the other non-profit community correctional centers discussed here, the Magdala Foundation no longer operates with grant funds. Currently, its financial structure is based upon contracts with six separate referral sources; the Federal Bureau of Prisons, The Missouri Division of Corrections; the Missouri Division of Probation and Parole; the St. Louis City Welfare/ Corrections Department; the Missouri Department of Social Services, Division of Family Services (through Title XX of the Social Security Act); and client fees. In the near future the Magdala Foundation expects to receive per-diem payments from the Department of Mental Health, Division of Drug Abuse and Alcoholism, also under Title XX.

The Foundation, somewhat uniquely, owns its four residential properties and thus has achieved an important degree of fiscal independence. In earlier years, grant funds provided the capital to refurbish the residential facilities. Mortgage payments currently are financed through rent charged to contractual agencies.

THE PRIVATELY OPERATED PROGRAM MODEL: STRENGTHS AND WEAKNESSES

A federal report states that Talbert House operates "comprehensive community-based programs providing meaningful diversion and alternatives to the courts and prison system. They are well run, with a caring staff and a concerned board. They rank at the top of effective programming for the public offender."[15] Similar statements may be made about the other Centers described in this chapter. Of the three program models, the private center appears to be the most securely rooted in the community. It originates in the community and it is locally financed, operated, and controlled. And because of the well focused, and sometimes intensely held, philosophical views of personnel, each Center has a unique sense of "mission" and a clear idea of what it wants to accomplish. This encourages competence and promotes unified organizational efforts.

The origins and evolution of the privately operated community correctional center, as illustrated by these three examples, show they developed rather predictably. They were all initiated by concerned citizens groups. They started small and slowly developed competence and knowledge of the criminal justice system. They did not begin by operating a residential facility, but rather grew into it, after a period of providing services to offenders on an out-client basis. But, because assistance, training and information to help organizations initiate residential programs is now so much more abundant, it is probably no longer necessary to have long lead times before organizations are prepared to successfully create residential programs. When they did obtain a residence it was usually accomplished with grant funds to: (a) obtain the building, (b) refurbish and equip the facilities, and (c) initially operate the facility until the organization could develop a method for sustaining itself financially. Invariably, the organizations were dependent upon per-diem payments by government agencies to keep going.

Clearly, private organizations are able to carry a significant portion of the corrections workload in many communities. Of course, the model is more appropriate for some jurisdictions than for others. A privately run community correctional center, for example, may be especially appropriate where the state or local government, for whatever reasons, shows signs of indifferent or inconsistent correctional administration. In such circumstances, the complexities of enabling the government to administer corrections more competently may far outweigh the simple advantage of allowing a private, non-profit agency to do the job.

The private center also tends to be better equipped to evaluate its own performance and to respond to demands for accountability. These centers, perhaps because they are administered as private businesses, often have quite sophisticated management information systems and may invest more resources in research and evaluation. Ironically, the governments that fund or use these private centers often require more complete accountability data from these centers than they do from their own publicly operated facilities and programs.

In contrast to the publicly funded center, which relies almost exclusively on the local property tax base, the private correctional center has been especially creative in finding and utilizing varied sources of funding. Private centers thus are able to respond relatively quickly in matching needs and resources and in modifying programs as client populations shift or as new sources of revenue become available. It is difficult to generalize about costs because of the inconsistencies in calculations of residential, per-diem, and related expenses. Yet the privately operated community correctional center appears less costly to local government than the public center. Private centers secure a wider variety of non-local sources of support; their capital outlay requirements tend to be lower; and many have adopted systems of management control that allow more efficient management of operating costs.

Offsetting such strengths as greater accountability, flexibility, and cost-efficiency are a number of actual or potential disadvantages associated with the privately operated center.

The relationship of the community correctional center to government is critically important, and perhaps the most vulnerable aspect of this particular model. The model depends upon good relationships with officials of general government, with the courts, and with other criminal justice officials. The character of this relationship can be quite varied; for example, the Mahoning County Residential Treatment Center is closely affiliated with government. Many public agency and criminal justice agency heads participate on the board of directors of the organizaton; the other two Centers in this chapter keep more of a distance from government.

Some readers may wonder if private agencies can really "control" offenders. Private agencies are not agents of government; they lack the power to arrest, to detain, etc. Thus, there is a view that the publicly operated center is equipped to handle different types of cases than the privately operated center. The data indicate that the populations of public and private centers are much the same.

Control over offenders has been less of a problem where referral to traditional corrections programs (jail or Prison) exists as a backup in instances of noncompliance. But the image that the private community correctional center may not be an appropriate placement for many offenders is a myth which needs to be overcome.

There also are significant differences between public and private operations in terms of control over the program. In most of the publicly operated community correctional centers, judges control admissions and exert great influence over the content and direction of the program. In most privately operated community correctional centers, admission is voluntary and the program director may have the right to reject any applicant. As a practical matter, even in the publicly operated programs, staff often advise judges that certain cases are unsuitable for placement; nevertheless, there may be a sense of uneasiness about how far local government can go in insuring that the privately operated community correctional center serves the public mandate. These potential disadvantages can be overcome. Some private centers have developed strong ties to local government and a high degree of responsiveness to the needs of the community.

There are some serious disadvantages associated with the need of the private center to obtain independent funding. The other side of the coin with respect to the private center's flexibility in responding to shifts in funding patterns or priorities is the unavoidably tenuous nature of its existence. Although this makes their existence more hazardous than a publicly operated community correctional center, it makes it easier for government to terminate programs which are not efficient or effective. It often is more difficult for government to do away with its own appendages.

The nature of the community correctional facility itself presents both advantages and disadvantages. The refurbished older home typically used by the private community correctional center is quite different in architecture, in institutional appearance, in level of control or security, and level of staffing, than the facilities which characterize the other two program models. But private centers operate on very tight budgets. Government grants or per-diem payments rarely allow money to be gradually accumulated in a contingency fund which can be set aside for maintenance, emergencies or repairs to the physical plant. This presents a pitfall which needs to be avoided, particularly when new residential centers are being initiated by inexperienced program administrators. Residential centers that do not develop the cash reserves for contingencies will be operating on "borrowed time"--until the residence needs a new roof or until the boiler needs to be replaced, etc. When crises develop, such centers may be forced to close. The community correctional center operated by government, of course, is less likely to have to cease operations when such a problem occurs. Also, a major problem in jurisdictions where local corrections monies are not available to pay the costs associated with private center programs is that local judges may be unable to refer offenders to it. Privately operated community correctional centers sometimes are not used by local judges, not because of opposition to the program, but because the judges do not believe the center is an option since local and state government do not budget per-diem payments for its utilization. Since per-diem income often is the "lifeblood" of the private center, unless local governments authorize such payments, these centers will continue to serve primarily state and federal pre-release cases.

Despite some potential weaknesses, the private community correctional center does offer a workable alternative to the publicly funded program. Private centers now seem to stand at the confluence of several major societal currents, including a renewed interest in localism and local control and a general disenchantment with "big government" (particularly expensive government). In an age of scarce resources and with ceilings placed on government spending, there may be a more receptive atmosphere for turning to private non-profit organizations to handle more of the corrections workload. Particularly attractive are 'well-managed' organizations--those that embrace modern concepts of management-by-objectives, performance measurement to improve results, and philosophies stressing achievement of behavioral objectives. Concerns with accountability, sound management, and cost-effectiveness all point to a new and more realistic philosophy for corrections: crime is coming to be viewed not as a problem for state and local governments to solve, but as a condition to be managed. In this context, community correctional centers, and especially those operated by private agencies, are likely to play a more important role in meeting correctional needs in the future.

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INTRODUCTION TO PART 2

The seven chapters which comprise Part 2 are directed toward the broad subject areas of planning; administration, organization, and management; personnel; programs; facilities and facilities management; support services; and evaluation. The substance of these chapters is applicable generally to all community correctional centers, although individual and local variations may be both necessary and desirable. The text should be particularly useful to those charged with responsibilities for, and decision-making about, community correctional centers.

Chapter V on planning is built upon a foundation which argues that planning for a community correctional center should be an integral part of a community's system-wide criminal justice planning process, not an adjunct to it. The planning foundation includes the observation that planning starts with an assessment of a problem, not a solution to it, and that planning must establish realistic expectations for the center. Chapter VI moves the reader more directly toward the operation of the center itself by providing a number of guidelines about center organization and management. The guidelines offered are established principles of public administration, modified to meet the particular focus of the correctional center. Chapter VII is directed toward personnel and recognizes that the management of human resources significantly impacts upon the achievement of organizational goals and objectives.

Chapter VIII on programs is written from the perspective that programming in a community correctional center is part of programming for a comprehensive community correctional system. Arguing that correctional philosophy and program must merge, the chapter discusses program management generally and the management of supervision, counseling, employment, education, job training, leisure time activities, health care, and financial services specifically. Chapter IX targets directly upon the most visible part of the community correctional center--the facility itself. The underlying premise of the chapter is that facilities have no intrinsic value: they are a means of achieving the end of reintegration of the offender into the community.

Chapter X recognizes that a variety of support services are necessary in the administration and management of the community correctional center. Thus, attention is directed toward such support services as planning, management information systems, case records management, and fiscal management. Chapter XI is a non-technical chapter on evaluation which focuses upon the nature of evaluation, the requirements for criteria, standards and an adequate data base, and summarizes general research strategies and methodologies frequently utilized in corrections. The basic premise throughout is that the community correctional center will benefit from an increased use of social science procedures, particularly those which test efficiency and effectiveness, assist in problem-solving, and enhance decision-making.

The recommendations and guidelines in these chapters generally are consistent with the series of Standards[1] prepared by the Commission on Accreditation for Corrections and other recent publications, such as the volumes on halfway houses prepared by John M. McCartt and Thomas J. Mangogna in 1973,[2] and by Harry Allen and associates in 1977.[3] Indeed, some of the major emphases in this volume come directly from the work of the Commission and the Allen and McCartt publications. The purpose of this text, however, is not to set standards in a narrowly defined mode, but rather to focus the attention of decisionmakers upon essential matters that transcend any specific center or program model, but directly affect the success or failure of community correctional efforts.

There is, not surprisingly, a significant amount of consistency in philosophy, principle, and recommended practice among most current documents. Over the years, a number of shared understandings about organizations in general and corrections in particular have emerged. Although subject to constant re-examination, many of these remain valid and applicable to a variety of community correctional organizations and facilities. These general principles have stood the important test of time, even if some modifications may be required, and they underlie the recommendations and observations of the present volume. Two principles, in particular, stand out:

- Corrections must emphasize public safety and community protection; individual assistance to offenders must be set against that backdrop.
- The community is an appropriate focus for corrections; a full range of community resources, programs, and facilities must be made available, and both citizen involvement with corrections and offender involvement with the community are essential.

It is important to note that accreditation, which both public and private community correctional organizations may wish to seek, requires adherence to the more specific and detailed standards of the Commission on Accreditation for Corrections.[4] The narrative contained in the following chapters parallels the standards, but in no way attempts to duplicate them.

CHAPTER V

PLANNING THE COMMUNITY CORRECTIONAL CENTER: MAJOR DECISIONS AND PLANNING ACTIVITIES

Three program models and successful operating examples of each have been described. But how were these successful examples initiated? What lessons were learned from their experience? What are the key decisions to be made? What questions must be asked--and answered? Where should planning for a community correctional center begin? Research and operational experience gained in the sites visited for this study provide important lessons and guidelines for others considering the establishment of a community correctional center in their own jurisdictions. Major lessons include:

- Planning for a community correctional center should take place as an integral part of a community's system-wide criminal justice planning process.[1] This comprehensive planning process should occur within a conceptual framework that consists of a rational series of steps leading from preparing for planning to problem identification and analysis, through goal setting, the selection of alternatives, and the implementation and evaluation of programs and projects. It should conclude with refinements based on program experience.[2]

- Planning for a community correctional center should begin at the beginning--with an assessment of the problem, not with the design of a known "solution." Too often, early stages of the planning process are ignored and planning begins on the untested assumption that a community correctional center is needed. This tends to produce problems later on.[3]

- Planning should establish realistic expectations for the community correctional center. If a community correctional center is determined to be needed, expectations regarding problems a center can and cannot resolve must be reasonable and realistic. It is a mistake to assume that a community correctional center can cure the multiple ills of a poorly managed or ineffective justice system.

What happens if planning is not system-wide, if essential planning steps are skipped, or if the objectives set are unrealistic? A hypothetical case, based on a composite of actual experiences, illustrates some of the possibilities:

Community X has an overcrowded jail. The "jail problem" (not the system problem) is examined through the planning process. Based on the analyses and recommendations of this study, the community builds a community correctional center to help relieve jail overcrowding and provide an alternative to confinement. (These two reasons were commonly associated with the establishment of community correctional facilities.) Later it is discovered that the jail is still overcrowded and the average daily population of the community correctional facility is higher than expected. Closer inspection reveals that the jail is overcrowded primarily with pretrial prisoners--persons ineligible for transfer to the community correctional facility. Further, it is determined that pretrial overcrowding has occurred because pretrial screening mechanisms are not working well, court delay is a problem, and the presentence investigation reports take twice as long to complete as in the past...

In this hypothetical case, the community correctional center can have little impact on the problem of overcrowding. Expectations for the center were not realistic. Had planning begun at the beginning and included a system-wide analysis of problems and potential solutions, other more effective alternatives might have been devised. For less in capital expenditures, and probably with better results, any of the following might have reduced overcrowding in the local jail:

- improve pretrial screening mechanisms by modifying the release-on-recognizance program or instituting supervised release;
- establish an intake service center;[4]
- introduce a population accounting system to monitor and analyze changes in jail population, admissions, and length of stay;[5]
- reduce court delays;[6]
- speed up preparation of presentence reports.[7]

Any or all of these responses to the jail overcrowding problem might be more effective than establishing a community correctional facility. But they appear obvious only when the perspective on planning is system-wide, the process is orderly and thorough, and solutions are realistically designed.

Planning the Community Correctional Center

The criminal justice planning process typically includes system-wide data collection and analysis, identification of problems and their causes, examination of alternative solutions, and selection of alternatives for implementation. Once the need for a community correctional center has been established by such a comprehensive planning process, a more specific planning phase can begin: planning for the community correctional center.[8] How does a community determine the kind of center it needs?

The first task is to assign responsibility for a needs assessment.[9] In some communities it may be best if citizens take the initiative; in others, officials of government may perform this task.[10] Consideration should be given to developing a task force approach to community correctional center planning, with staff assistance provided by appropriate private and public agencies. In most of the sites visited, this approach was used.[11] Private centers often spent years in the assessment phase, using this period to gather supporters, to learn how the criminal justice system operates, and to determine more precisely the needs of potential clients.[12] These centers generally started small and gradually built confidence, competence, and support. Returns on this investment included broader support and approval of criminal justice agencies, enhanced public understanding and acceptance of community treatment, reduced opposition from residents of the area where facilities were to be located, and closer ties to social services in the community.[13]

Needs assessment should begin with an identification of the potential client population.[14] It should produce an estimate of the number and characteristics of potential clients, as well as identify their service needs (education, training, jobs, drug/alcohol or other medical needs, etc.). Offense classifications, estimates of the level of supervision or control needed by each client group, and approximate length of stay in the program should also be included in the assessment.

One output of the needs assessment phase of the planning process will be a declaration of findings. This is essentially a problem statement which sets forth the facts, presents an analysis of those facts, and then proposes a specific community correctional center concept as a needed course of action. It will contain general as well as specific findings and conclusions. (Often the statement that appears as the preamble to any enabling legislation summarizes the more general findings in a section called "Legislative Findings and Declarations.")[15]

A statement of purpose (also typically contained in enabling legislation in a section entitled "Purposes and Functions of Community Correctional Centers") is another tangible product of this early planning phase. Statements of purpose, whether they appear in legislation, in annual reports, or in articles of incorporation, generally have similar features. The statement of purpose is usually a general expression of the overall policy orientation of the board of directors, the legislature, or the community. It expresses an operating philosophy--a set of values and beliefs that will serve as normative guidelines for the community correctional center.[16]

The statement of purpose needs to be strong enough to serve as a philosophic foundation for both policy formulation and the more specific time-phased and measurable goals and objectives[17] developed later to guide the administration and management of the community correctional center. Too often planning proceeds without a clear statement of purpose, either because thinking on the matter has not progressed far enough to be articulated, or because it is easier to gloss over honest but significant differences. This is a common, yet serious, planning error. It is important that a consensual statement of purposes be developed and committed to writing.

Once purpose has been spelled out, design and implementation of the community correctional center can begin. It is important that the design of facility and program spring from the needs assessment. Too often, the reverse occurs: the facility and its programs are conceptualized first; then clientele are selected to fit the model. This reflects the common mistake of defining the planning task too narrowly.

If the needs of all potential clients are included in the needs assessment, a more comprehensive picture will emerge. Some subset of this population then can be selected as most appropriate for community correctional center services. Once the needs of the potential client population have been established it will be possible to design a facility and develop programs and services to meet identified needs.

The time, energy, and resources required for developing an adequate plan should not be underestimated. Insufficient time often results in neglect of critical planning steps, especially in the early phases, which may jeopardize the success of any program developed.[18] Also, decisions must be faced squarely as they arise since sidestepping them often results in problems later on. When decisions are postponed or avoided because of the interpersonal or interagency conflict which they threaten to generate, the effort to establish a community correctional center may be abortive.[19] The key seems to be to take planning seriously, to devote significant time to it, and not to jump prematurely to programmatic solutions.

Key Planning Decisions

Many decisions must be made in planning and establishing a community correctional center. By the time the need assessment has been completed and purposes have been clarified, three key questions and a number of subordinate ones will have been answered. The three key questions are:

- Do we need a community correctional center?
- What should the purposes of the community correctional center be?
- What overall philosophy will guide the operation of the community correctional center?

The answers to these questions will become more precise, more focused, as a long list of interrelated subordinate questions are answered:

- Who should assume responsibility for the needs assessment?[20]
- What types of client appear to need community correctional center services?[21]
- What services and what major program components are needed?[22]
- Which client services should be provided by the community correctional center and which services should be referred out?
- What are the goals of the community correctional center?[23]
- What referral sources are to be served? Where will clients come from?[24]
- What workload needs to be planned for?
- What geographic service area is to be served?[25]
- What will be the approximate length of stay in each program component?[26]
- How large will the residential facility be?[27]
- How many clients will be in each program component?

- Will residents who leave the residential facility and programs be allowed to return later to utilize the center's employment, counseling and other services?
- Where should the residential facility be located?[28]
- How closely does the potential client population need to be supervised? How secure a residential environment is needed?
- What should be the criteria for admission to each program component? What restrictions should govern client eligibility?
- What will the community correctional center be called?
- How should the clients of the program be referred to: as "residents," "inmates," "clients," "participants," "out-clients."?

Planning for and implementation of the community correctional center overlap considerably and, in practice at least, cannot be separated. But there are conceptual distinctions and these may help in defining the kinds of decisions that must be made. Once needs have been identified, purposes have been determined, and overall philosophy has congealed, it will be appropriate to:

- Establish the legal and organizational framework within which the community correctional center will operate--make decisions about organization, administration, and staffing.
- Define the legal status of clients--make decisions about the scope of staff authority and the rights and obligations of staff and clients.
- Establish policies to govern the program of the community correctional center--make decisions about admission, program participation, and program termination.

Decisions in these areas will carry the planning process into much more specific territory. Once these decisions have been made, a clearer picture of the community correctional center will have emerged.

Organization, Administration, and Staffing

Questions concerning the legal and organizational framework within which the center will operate include:

- Will the community correctional center be operated by government or by a private agency?[29] (If it is to be operated by government, the proper horizontal and vertical placement of the center within the general structure of government must be decided.)[30]
- Will the center be a separate agency or part of a larger agency?[31]

These decisions will be determined to a large extent by earlier decisions concerning the purpose, scope, and guiding philosophy of the community correctional center. For example, the relationship with other public and private organizations will depend on decisions about programs and services to be offered by the center directly and those that will be provided by other community agencies,[32] as well as decisions that specify the character of the community correctional center and the types of clients it is intended to serve.[33] Information about sources of funding[34] and major sources of referrals also will help in making these decisions. The size of the program, costs, staffing requirements, the availability of services in the community, type of client, and similar issues which are described in more detail in Part II of this publication will become considerations in making these decisions.

A governing board must be provided for[35] and its composition, authority, terms of its members, methods of appointment and termination, and other matters need to be set forth in legislation[36] in by-laws,[37] or in articles of incorporation. All of the centers visited also had community corrections advisory committees and decisions must be made concerning their composition, authority, responsibility, representation, and methods of appointment and termination.

Finally, decisions will have to be made regarding the authority, responsibilities, and functions of the center director,[38] the organization of staff,[39] and the extent and exact nature of support staff (e.g., cooks, accountants, lawyers, records and purchasing staff).[40] To a certain extent, staffing decisions will be a natural consequence of decisions made earlier regarding clientele, programs, facilities, needs for supervision, operating philosophy, and use of other community agencies. These issues will determine the number and type of personnel, the staffing pattern, their hours of work, and the cost--for personnel make up the largest budget item in any community correctional center operation. Decisions to hire ex-offenders, to make use of volunteers, to employ persons most familiar with the lifestyle of clients will link back to program and philosophy choices. In addition, there will be a need for procedures to govern recruitment, selection, and appointment, promotion, and removal of personnel[41] and a related need for developing job descriptions and defining job responsibilities.

Staff development plans should be made so as to produce and maintain a professional, well-trained and competent staff. The plans should consist of several inter-related components. The first component should be an orientation for new staff prior to the assumption of assigned duties. Second, an inservice training program should be developed. Third, orientation and inservice training may be augmented by taking advantage of educational opportunities in local community colleges or universities, by membership in professional associations, and by encouraging staff to participate in relevant conferences, workshops, and training sessions. The subject of staff development is discussed more fully in Chapter VII and need not be detailed here, except to note that staffing and training needs should be planned before staff are employed.

Once the community correctional center is in operation, the theory is that the director will manage it according to policies established by the governing board and the law and regulations that establish and/or authorize the center.[42] Annual review of operations, and any special program evaluations, will determine the efficiency and effectiveness of the community correctional center. But, evaluation also must be planned. Sound evaluations require that goals and objectives be defined and established before programs are initiated. Unless this is done, there is no way to evaluate program performance. Criteria for gauging the success of the operation must be defined and agreed upon in advance. Evaluation should be part of the continuous decision-making processes which manage the community correctional center, not a separate "extra" exercise performed once a year. Evaluation must be built into the management process, not "tacked on." An evaluation methodology must be developed and staff and financial resources set aside to sustain the evaluation. As noted, evaluation planning should begin before a program is initiated, not months afterwards. Finally, because evaluation is part of the management process, management should be involved in evaluation activities. Key executives and members of the board of directors need to participate in the planning and often in the conduct of the evaluation. Evaluation cannot be left entirely to research staff or outside consultants: it is a management function.

The Legal Status of Clients

Important decisions need to be made concerning the legal status of community correctional center clients, particularly the residents of the center facility.[44] The major questions are:

- What legal guidelines are necessary to allow staff to provide proper supervision and care, while avoiding undue interference in clients' lives?

- What is the scope of staff authority to detain and supervise residents?

By law, rule, or regulation guidelines must be established in the following areas: search and seizure of the client and his or her property; control and disbursement of resident funds; limits on the use of restraint, detention, and physical force; and furlough regulations and conditions. The appropriateness of urinalysis and procedures for regulating the use of controlled substances also must be decided.

Many more specific issues also need to be resolved[45]--for example, regulations must be developed to govern resident movement in and out of the community correctional facility, including clear definitions of when a client is AWOL (an absconder); rules of conduct will need to be established and a clear and fairly administered set of disciplinary procedures established. Also needed are regulations concerning the use of telephones, possession of personal property, resident ownership of automobiles, and perhaps even the decoration of residents' personal quarters.

Admission, Program Participation, and Termination

Policy needs to be developed and articulated, either in law or regulation, to answer two fundamental questions:

- What are the rights of clients to services?
- What are the obligations of authorities to provide services?

Answers to these two questions will provide a basis for establishing policy in the following areas:

- Admission to the community correctional center and each of its program components. (For example, what referral source will be served? What legal status will make a person eligible or ineligible for services? What criteria, established either by law or regulation, will determine admission policies? Who will make the decision to permit or deny admission?)
- Conditions of program participation and the services to be provided. (Included are: the development of the program plan or the formal or informal "contract" between the client and staff; the provision of services[46] and client participation; review of client participation; and assessment of client progress.)[47]
- Termination, departure, and release of clients from the program.[48]

Making the major decisions on policy to govern the community correctional center program is the last major step in planning for the establishment of a community correctional center. By this time the concept should have a "character" that reflects the community. Most of the major decisions will have been made and the concept will have been fleshed out in some detail.

The next important planning tasks involve establishing and operating the community correctional center. Clearly, planning must be thought of as a continuous process, not an exercise to be completed once a year at budget preparation time. There is a need to constantly assess the performance of the community correctional center, to review policies and programs, and up-date plans.

The following chapters offer some specific guidelines for operating the community correctional center. Guidelines are presented in the areas of: planning; organization and management; personnel; programs; facilities; support services; and evaluation.

CHAPTER VI

CENTER ORGANIZATION AND MANAGEMENT: SOME GUIDELINES

The topic of community correctional center administration cuts across a wide spectrum of organizational behavior in general, from the appointment of the agency administrator to the development of policy manuals to guide operations. This chapter is based on established principles of public administration, with additions, deletions, and modifications to take into account the particulars of the correctional situation.

It is recognized that "new" styles of administration, organization, and management change. Nonetheless, the proverbial wheel does not have to be reinvented. Established principles hold quite well for the community correctional agency, public or private, and they are applicable to all program models. Some of the guidelines offered here may seem obvious; but community correctional centers operate in a political, legal, social and cultural environment characterized by conflicts that can be accommodated only by careful application of sound management principles.

No organization, of course, operates in a vacuum. The performance of any agency and the behaviors of its staff are significantly influenced by external considerations.[1] The community correctional center, specifically, must consider the attitudes of citizens and civic leaders, the actions of personnel in other components of the justice system and in related agencies, and the decisions and preferences of authorities in a position to fund, supervise, evaluate, or regulate center operations.[2] Such external elements strongly affect the organization and management of any correctional activity based in the community.

The management of the community correctional center should seek to influence and shape the environment in which it operates. Organizational leaders must exploit their environment in order to gain support and acquire scarce and valued resources if the organization is to survive and be effective.[3] The effort to replicate the Des Moines project illustrates this point. While there was an attempt to have each of the six replication sites model their programs closely after Des Moines, local environments dictated that many modifications be made before the program could be transferred to other sites.[4]

Academicians might divide the community environment into two categories: diffused and focused. The "diffused" environment is the broad sociocultural milieu in which the organization operates. Included are the values, traditions, and social institutions that condition the behaviors and goals of complex organizations. The diffused environment generally sets limits on and creates opportunitites for organizational activities. The "focused" environment, on the other hand, consists of those individuals or groups with visible, specific, and significant impacts on the organization's goals and its ability to achieve them.[5] It is this set of external elements that leaders of the community correctional center must exploit effectively even as the former seek to manipulate the agency, its staff and clients, or its supporters. The reciprocal relationship between the organization and its focused environment is essentially political. The most immediate and critical segment of the organization's surroundings, it is also the locus of the most meaningful action.

Managing the Environment

Major elements of the environment with which the community correctional center, and especially its administrator, must deal successfully include the governing authority, the legal structure, the criminal justice and correctional system, and the network of related agencies whose operations border on or overlap those of the correctional center. Relationships with external funding sources and with the general public also are vital to the continued operation of the center.

The Governing Authority

The governing authority or "parent" government agency constitutes one of the "key actors" in the environment of the community correctional center. Administrative staff of the center and members of the governing authority or parent agency share multiple responsibilities to communicate with one another, to jointly manage the community correctional agency, and to oversee agency operations. A management team, composed of designated members of the governing authority or parent agency and the administrator of the community correctional center, is recommended. The team should schedule meetings to establish and review policy and procedure and to insure that programs and facilities are conducted and managed in compliance with statutory requirements and other regulations. Center and governing authority staff should attend those meetings and a permanent record should be maintained. The minutes of these meetings should include, but not be limited to, the date, persons present, topics discussed, decisions reached, and actions taken.

The governing authority or parent agency also should be responsible for approving proposed center policies. Most directors of the centers visited as part of this program model effort "bent over backwards" to involve their boards and to share with them both their problems and their successes. Policy formulation generally was a joint responsibility and many board members were intimately familiar with center operations.

There is another important role that members of the governing authority should play--that of creating and maintaining linkages between the center and the community it serves. To enhance the formation of such linkages, the membership of the governing authority, as a demonstation of direct community involvement in local corrections, should reflect the social, economic, and demographic characteristics of the community.

Legal Considerations

A public or private agency operating a community correctional center should be a legal entity or part of a legal entity. Becoming a legal entity provides a measure of legitimacy and a basis for doing business and entering into contracts. It also facilitates the search for funds, builds a sense of purpose, and affords some personal protection against legal actions. The process of becoming a legal entity--which forces those involved to review and define their mission--too often is postponed by community correctional center managers. Many ex-offender and volunteer programs have similar beginnings in an informal association of people interested in helping offenders. Eventually these groups are likely to incorporate, but for long periods of time they may function as a corporation without having taken the necessary legal steps. Their unincorporated status, unfortunately, creates unnecessary risks and only delays what eventually must be done to insure ongoing operation. Early attention to this and other legal concerns thus is critical to any center's success.

To minimize organizational conflicts over "turf," the community correctional center established (or being established) as a public agency should have either statutory or administrative authority to manage programs and facilities under the provisions and guidelines of the responsible governmental agency.[6] The responsibilities and functions of the center also should be specified by statute or administrative directive. A center established (or being established) as a private activity should have both a constitution or articles of incorporation and by-laws.[7] These documents must meet all of the legal requirements of the jurisdiction in which the center is located.

All states have some minimum requirements for information to be included in the constitution or articles of incorporation and failure to comply will jeopardize the existence of the private center. As the basic legal document of the organization, the constitution or articles of incorporation also serves as the foundation for the existence of center programs and facilities. The by-laws of the private community correctional center specify its operational policies and procedures and administrative structure.[8] They should indicate how the organization will conduct its business and meet its responsibilities and obligations. Private agency by-laws, which should be approved by the governing authority,[9] generally must be filed with appropriate local, state, and/or federal agencies.

The private organization also is generally required by law and regulation to file tax status reports with the Internal Revenue Service. Such reports should be available to both justice and non-justice agencies as a means of building relationships with those components of the organizational environment.

Both public and private community correctional centers must meet a number of other legal requirements. At a minimum, the center must comply with applicable city, county, state, and federal licensing requirements, as well as with the zoning requirements of the jurisdiction in which it is located. Violations of licensing or other regulatory requirements may generate hostility and adverse publicity and can result in legal sanctions. If the center is deficient, management must move quickly to achieve or demonstrate progress toward compliance since there may be not only legal but financial implications. In Ohio and Missouri, for example, state and federal payments of per-diem costs and offender expenses to private centers are conditioned upon verification that these centers meet legal requirements.

Compliance with legal requirements should be viewed as a starting point rather than as a goal in itself. Indeed, if licensing requirements do not exist, the center, through the responsible government agency or governing authority, would do well to support their establishment. Such affirmative action both helps to insure the safety and quality of programs and facilities and should enhance acceptance of the center by the community.

Because the community correctional center is in the community, a separate caution related to zoning must be issued. As public policy regarding offenders (as well as dependent and neglected children, substance abusers, and the mentally ill or retarded) has shifted toward community-based programming, exclusionary zoning codes, community opposition, and difficulties in finding suitable facilities have been encountered. Community opposition often is rooted in fears of declining property values, perceptions of center residents as a threat to public safety, and concerns for the general "character" of the community.[10] Center management must address, and ultimately neutralize, this opposition. While there is no substitute for thorough analysis of potential sites during the planning phase, other techniques have been used to resolve this problem.[11] The involvement of a cross-section of the community in planning and operating the center through advisory groups or membership on the governing authority is a particularly workable approach. As a general principle, a community correctional center should be able to locate in any land-use zone approved for group living (such as boarding or convalescent homes.) Zoning based uniquely upon labels such as retarded, mentally ill, or criminal seems inappropriate.

A final observation with regard to legal considerations affecting public and private community correctional centers relates to the need for expert legal advice. In 1973 the National Advisory Commission on Criminal Justice Standards and Goals commented on the growing involvement of courts in the field of correctional administration.[12] The courts are likely to continue in their role as guardians of the rights of offenders and supervisors of the criminal justice system. The administrator and staff of the community correctional center thus ought to have ready access to legal counsel to insure that the public, the center, its staff and residents, and others with an interest in center operations are afforded the legal protections to which they are entitled.[13] With legislation and case law developing rapidly in the field of community corrections, legal consultation is becoming increasingly important to correctional center administration.

Fiscal Considerations

Fiscal management is a critical dimension of center administration. The operation of programs and facilities with public or private funds requires continuous communication with funding sources, regulatory agencies, legislators, and taxpayer groups. Copies of fiscal reports should be available for appropriate review. The publicly funded center, especially, is accountable to the funding source for compliance with its specific requirements as well as with other legal and regulatory requirements. Systematic planning with funding agencies and timely review of policy and procedures with regulatory agencies are essential.

Obtaining funds for community correctional centers is likely to become more complex in the future and administrators will need to be quite sophisticated in techniques of seeking and utilizing funds from diverse sources. Good record-keeping, the creation and use of effective communication channels, and attention to a wide range of related administrative concerns should enable the center to secure and maintain sufficient funding. There are numerous anecdotal "horror stories" detailing the fiscal problems that have forced some community-based correctional facilities to close. The experiences of others with poorly kept records, auditing difficulties, loss of control over funds, budget overruns, and unqualified management should serve to guide existing and proposed community programs and help them to avoid similar fates.

Some privately funded centers have become complex businesses, funded by a variety of sources. The Mahoning County Treatment Center relies upon five sources of revenue; Talbert House draws from eleven sources; the Magdala Foundation has altered its funding relationships and now is raising revenue through contracts with six referral sources. Public correctional centers can be equally complex in their funding arrangements. For calendar year 1978, the Vancouver (Washington) Correctional Center received funds from eight different sources (one contributed 43 percent of the total budget, while another provided but .2 percent).

There have been some innovative approaches to center financing and management that appear especially promising. For example, the statutory or administrative joining together of agencies with a common mission is generally cost-effective and efficient, often resulting in the optimal use of limited resources. Such cooperative efforts provide opportunities for experimentation, innovation and flexibility in program development. The Des Moines experience, in which four program components were synthesized under an overall mission and a joint administrative structure, demonstrated that administrative and functional coordination can be effective financially as well as programmatically.

Public Relations and Information-Sharing

The community correctional center is an "open" organization, with both vertical and horizontal lines of communication within and outside the center. Site visits demonstrated that center staff devoted considerable time to the establishment and maintenance of contacts with people in the community. Because of "sunshine" legislation (as in Iowa) and taxpayer militancy (as in California), correctional centers can expect an upturn in visibility and increasing observation of center operations by citizens and legislators.

Directors of the Centers in Vancouver, Washington, Rochester, Minnesota, and Orange County, Florida, have turned this external scrutiny to their advantage by aligning themselves with advocates of "good government" and sound management. These centers have made effective use of citizen advisory groups, which act as buffers between the center and the rest of the community. Advisory group members both receive and dispense information, thereby helping to tie the center more firmly to the community.[14]

By constructive interaction with individuals and groups, agency leadership can partially fulfill its obligations to protect the organization from environmental contingencies. The administrator and his staff should respond promptly and fully to requests for information about center programs and facilities, taking advantage of every opportunity to inform key individuals about center philosophy, policies, and functions. This should include the presentation of testimony on relevant proposals before legislative committees and contacts with federal, state, and local judicial and executive bodies.

Policy and procedure should provide for a public information/education program that promotes contacts between the center and both the general public and the communication media. This program should be targeted especially upon, but restricted to, those segments of the public in a position to facilitate the delivery of services to residents. Contacts, of course, must be consistent with the maintenance of order and security and the preservation of a resident's privacy. Policy should specify the types of information that may be released, the persons authorized to release it, and the rights of offenders and others with respect to privacy and it should include a statement of intent to provide accurate and timely information. Information/education activities should be documented and made a matter of record. The success of the center may depend heavily on the ability of its staff and administration to educate the public about its operations and its role in the criminal justice process.

Interagency Cooperation

City, county, state, and federal corrections and other justice agency employees are important elements of the community correctional center's focused environment. Policy and procedure thus should insure that the center, whether public or private, works with other criminal justice agencies on a continuing basis to coordinate programs and to initiate, implement, and evaluate plans. The exact nature of such collaborative relationships cannot be specified, but it is the spirit upon which they are built that is significant rather than their precise definition.

Whether public or private, the community correctional center should first be an integral part of the correctional system. Experience suggests that the success of a center may depend on its acceptance as a legitimate component of the correctional apparatus. Some twenty years ago, the innovative Pinehills project at Provo, Utah, failed largely because its leaders were unable to involve or obtain the support of important elements of the local correctional community. The project was not funded by local revenues when the initial grant money was depleted.[15]

It is interesting to note that even though the center is part of a correctional organization, acceptance is not guaranteed. Community correctional centers exist in a competitive organizational world and there may be many reasons for opposition to the center or its programs. At the Salt Lake replication site, for example, the state opposed the creation of local probation services and rejected that component of the center's program because it could not be absorbed at the state level. In Duluth, the Sheriff was unenthusiastic about the overall program and kept the center at arm's length even though, organizationally, he was forced to act as host for its programs. The Baton Rouge Council simply refused to fund the replication effort because it preferred to address other priorities.[16]

Collaboration with other criminal justice agencies (not only corrections, but also law enforcement, prosecution, defense, and judicial organizations) is important for a number of reasons. Such efforts move the center toward partnership in justice operations, generate valuable inputs from these agencies relating to center policies, procedures, rules, and regulations, and facilitate the center's ability to deliver services. Also, because many community correctional efforts are supported at least in part by grant funds, the tie to the justice system must be clear.

The early experience of the Des Moines pretrial release program suggests the importance of cultivating relationships with criminal justice agencies. Although the program was partially supervised by the judiciary, members of the judicial district were reluctant to accept some of the release recommendations of project staff and tended to define strictly eligibility for pretrial release. Over time and following intensive discussion between project staff and members of the judiciary, the latter became more comfortable with the program and expanded the criteria for release eligibility.[17]

Similarly, community-based correctional programs cannot hope to be successful without the cooperation of law enforcement. The initial and continued contact of police with the offender may influence his attitude toward society and its institutions, his reintegration prospects, and his willingness to respect the law. In their exercise of discretion at the time of arrest, the police also have a greater impact than other environmental actors on the selection of correctional clientele and the definition of criminal conduct. The police officer or deputy knows his community, or at least some part of it. A resource himself, he also is aware of many other useful resources and knows the temptations an offender may face. The police must be persuaded by community corrections staff to view their role in terms of crime prevention as well as law enforcement and the maintenance of order.[18] Such a perspective will be supportive of most center-sponsored activities.

The Vera Foundation's release on recognizance program was resisted philosophically by law enforcement (and pragmatically by bail bondsmen.) That experience was repeated in Salt Lake City, where law enforcement officers initially objected to releasing defendants on their own recognizance. Over time, project management succeeded in dealing with their objections and law enforcement and jail personnel no longer formally opposed the project. Evidence from this and other programs suggests that the perceptions and attitudes of law enforcement officers must be addressed before community corrections strategies will become acceptable to them. If community correctional center staff and law enforcement remain isolated from one another, potentially explosive incidents may occur with possible adverse, long-range effects on community-based programs.

Many of the services required by residents of the community correctional center are provided by public and private agencies outside the criminal justice system. Center participation in interagency policy development, planning, coordination of programs, and implementation of mutual plans should be directed toward insuring that residents of the center are aware of and able to participate in programs and activities sponsored by non-justice agencies. Policy and procedure should encourage the center to develop and maintain working relationships with various agencies, including education, employment, welfare, and health agencies, community interest groups, and other community services.

Site visits revealed that successful centers often are able to integrate offender services by bridging gaps between traditional corrections programs and those of other social service agencies. In some cases, as in Mahoning County, the center itself provided needed services directly; at other sites, the center played a coordinating and "brokering" role. There was substantial evidence that a center's efforts to fill service gaps can do much to enhance the integration of offender services.

A variety of means are available to build relationships with other agencies and to coordinate available services. Some centers have used advisory groups or volunteers; others have obtained the support of local political leaders who promote coordination among public sector units within their jurisdiction. Many centers contract with other agencies for services,[19] since the typically small staff of the center cannot meet all of the needs of their diverse clientele.

Policy and procedure also should provide for collaboration between the center and local universities or colleges in areas of mutual concern, including, for example, research, evaluation, internships, and technical assistance. These ties are beneficial both to the center and to such institutions of higher learning. Universities are able to provide academic curricula, sponsorship or direct implementation of research programs, special training conferences, student interns to supplement center manpower, and qualified advisors on program and policy. The center, in turn, provides a unique teaching and research laboratory. The establishment of joint advisory committees should facilitate collaborative efforts.[20]

The Des Moines project made effective use of law-school students to conduct eligibility interviews. These students, who worked part-time, were able to provide interview capability on a 24-hour basis, seven days a week.[21] The PORT program in Rochester, Minnesota, provides housing for offenders and junior college students function as counselors on a one-to-one basis and act as role models for PORT residents.[22]

Finally, policy and procedure should insure that the center cooperates fully with federal, state, and local legislative, judicial, and executive bodies. The understanding and support of all three branches of government is essential to the long-term success of the center. Evaluation of the LEAA replication of the Des Moines program has portrayed the many difficulties that can arise in the area of intergovernmental and interagency cooperation. The replication experience illustrates how some problems were resolved while others were not.[23]

Management Theory and The Community Correctional Center

The art of management and theories of complex organizations have evolved over the last half century through several phases.[24] To thinkers in the so-called "scientific management" movement, the administrator was a highly rational, skilled technician who manipulated both human and organizational "machines" with great precision.[25] The management principles framed at that time have enjoyed renewed popularity among those who advocate the use of such management techniques as operations research; planning, programming, budgeting systems (PPBS); program evaluation review technique (PERT); and other "scientific" tools of decision-making.

One group of theorists in the evolving science of management reacted to the notion of scientific management by emphasizing the impact of employees' needs and preferences upon their participation in the formal organization. This "human relations" group argued that workers needed to find personal and social satisfactions in the work place, that accommodating this need would motivate them and, as a result, their productivity would be increased.[26]

More recently, systems theorists have highlighted the informal aspects of organizations so that complex organizations are now interpreted as open social systems. This perspective directs attention to a range of variables that had been ignored by earlier contributors to the science of management, including communications networks, the generation and resolution of conflict, organizational elites, patterns of mutual expectations, and sanctions available to influence organization members. This group has emphasized the interdependence of organizational components and the ties of the organization to its environment. Another recent group of theorists, known as "industrial humanists," has focused on the social and psychological aspects of organizational life. In their writings they urge managers to create conditions under which participants can use their capacities fully and creatively.[27]

Advocates of the most recent management theories seek to reconcile the emphases on art and on science. Contingency theorists use the systems approach to analyze organizations, emphasizing the influence of personal needs and environmental factors upon the behavior of individuals in organizations.[28] Advocates from this school suggest that certain management strategies are appropriate to particular situations. Although there are not universal principles applicable to all situations, it is argued, each organization is not unique. Since the correct way to apply any principle depends upon the circumstances, the manager becomes both a pragmatist and a diagnostician.

Although the circumstances will vary from one community correctional center to another, the management principles offered here should provide the reader with some general guidelines that may be modified to meet specific needs and conditions. Organized around the various roles of the agency manager, these principles are applicable to both public and private community correctional centers.

- Multiple Roles of the Agency Administrator

The many roles of an agency administrator can be grouped into three general categories. The first is the responsibility to exercise leadership, primarily for the purpose of influencing the task or "focused" environment. The second has to do with the administrative function of problem-solving. The third pertains to coordination of individual efforts while performing a series of traditional management functions.[29] The administrator must be many things: charismatic, creative, a problem-solver, and a capable operational manager.

Students of public administration have observed that in complex organizations top management must be concerned primarily with leadership--determining the public interest, establishing social order, and defending critical values. For his agency, the director must define the organizational mission, set goals, and work to insure that these are more than superficially accepted. The administrator must resist the temptation to measure organizational achievement in terms of resources, reputation, or stability without reference to the values that his organization was designed to promote.

The second category of administrative roles, having to do with problem-solving, involves the operation of programs, management of personnel and financial resources, and adjustment of organizational interests within the external environment. Each of these aspects of organizational life has its own dynamics, so any balance achieved will be temporary. An essential task of the agency administrator is to continuously adjust the "mix." This is accomplished through an administrative process dominated by a search for solutions to problems as they arise.

Site visits demonstrated a constant ebb and flow of management "crises," each of which had to be dealt with promptly and skillfully, with both firmness and flexibility. Coordination, cooperation, and communication were constant requirements. Alan Coffey has suggested that the administrator of a community correctional center should develop a "sensor matrix"[30] to identify "targets of opportunity" or those forces in the community toward which efforts must be directed. Such a matrix should help in the collection and evaluation of information needed by management for creative problem-solving. Of course, since the community is constantly changing, as is the correctional program and organization, the management information system must be continuously updated to keep pace.

The third category of roles for the center administrator involves the effort to promote efficiency through coordination of individual efforts. This task, the essence of the managerial role, subsumes the traditional functions of planning, organizing, staffing, directing and controlling.[31] The administrator's planning function involves the setting of goals and the development of policies, programs, and procedures for achieving them. Organizing entails the development of a role structure based on activities designed to achieve objectives. It involves the grouping of activities, selection of subordinate managers, and delegation of authority. All personnel tasks are absorbed into the staffing function--recruiting, selecting, training, compensating, and evaluating. Directing suggests the guidance and motivation of employees. And controlling implies measuring and correcting the efforts to insure that their activities conform to plans.

The center administrator is expected to accomplish all of these managerial functions, although he should be assisted by his staff and occasionally by the governing authority or parent agency. As the scope of center operations expands, some functions should be delegated to "key actors" in the community. In one center visited, authority to direct daily operations was delegated to a deputy administrator. In larger center organizations middle management structures have been created to supervise particular programs or program components.

Within guidelines set by the governing authority or parent agency, the administrator of the community correctional center should be responsible for formulating center goals, translating goals into measurable objectives, and establishing policies and procedures for their accomplishment by center staff. Because resources almost always are limited, overall goals and specific objectives should be prioritized and balanced against available resources. Without such priorities for goals and objectives, the center will lack focus, continuity, and consistency.

Goals and objectives should be translated into written policy and procedures, which are assessed periodically and revised as necessary. Reports on center activities and progress toward goal achievement should be prepared and disseminated at regular intervals. In addition to encouraging ongoing monitoring and evaluation of center programs, such reports aid in public education, accountability to the governing authority and funding sources, and staff understanding and acceptance of management goals and procedures.

The following principles of center organization and management have been gleaned from both site visits and the literature on public administration in general and the management of community correctional centers in particular.

- Organization and Chain of Command

Community correctional organizations tend to be structured by funding sources. The organizational strategy is often based on fiscal (rather than functional) considerations reflecting the realities of the grant economy. Nevertheless, a written plan should describe the center organization, grouping similar functions, services, and activities into administrative sub-units.[32]

The number and functions of management units within the center will vary according to the nature of center programs and facilities, history and tradition, and human and fiscal resources. All management units should be integrated into the organizational framework. Because specialization may result in indifference to organizational goals and objectives, specialized units should be created only if resource management and goal attainment are likely to be enhanced. The overall organizational structure should be assessed periodically so that units not contributing to the achievement of goals can be terminated.

Because the center administrator is responsible and accountable for all that occurs within the center and in connection with its programs, the center should be under the direction of a single administrative officer appointed by and responsible to the governing authority. All employees or units of management within the center should be accountable to this officer.[33] Where individuals employed by other agencies provide a service to the center, written policies and procedures should be developed to describe their roles and functions as they relate to the authority and responsibility of the administrator.

- Appointment of the Agency Administrator

The administrator of the center obviously is a key to its success or failure. Appointment procedures, authority for appointment, and functions should be specified by statute or by the responsible governing agency (for the publicly funded center) or in the by-laws governing the private center. The government organization, chief executive, or governing body responsible for the overall functions of the community correctional center should select its administrator. The process of selection should be explicit to avoid confusion and political interference and to maintain credibility.

Stability of leadership, which is essential for effective center administration, can be promoted by continuous tenure of the administrator with termination only for cause and in accordance with explicit procedures. Termination should be preceded by a formal and open hearing on specific charges (in the case of a public center) or in strict accordance with procedures outlined in the by-laws of the private center.

- Delegation of Authority

The administrator of the center should delegate authority to subordinate staff commensurate with responsibilities and results expected of particular staff members.[34] The delegation of authority should be monitored by the administrator to insure that authority is neither abused nor extended beyond that required by specific assignments.

It is good management practice to specify in writing the duties and responsibilities of all center personnel. Written position descriptions should not be borrowed from outdated descriptions found in other agencies. Rather, they should state the basic function of each staff position in the center, its major duties, and the scope of the incumbent's authority. The descriptions developed by more successful programs clearly inform the incumbent and others about what he is supposed to do and help to avoid overlap.

- Supervision and Span of Control

It is important to provide for supervisory staff to direct and evaluate output and to provide line staff with guidance and assistance. The responsibilities of supervisory personnel should be specified in writing. Specificity in the supervisor's requirements promotes focus, continuity, and consistency of center operations.

The problem of over-capacity or under-capacity is a constant challenge to center operations. The "ideal" span of control is rarely achieved. Either there are too few subordinates to fully occupy the supervisor or there are so many that he is over-extended. This problem is persistent due to the small size of many centers and the fluctuating budgets with which they must live.

- Written Policy and Procedure

Policy and procedure governing the administration and operation of the community correctional center should be in writing.[36] Among these policy and procedure statements should be a description of the center's philosophy or "mission" and a listing of goals and objectives. This statement should be approved by the parent organization or governing authority.

Agency effectiveness appears to be enhanced by the articulation of both general philosophy and more specific objectives. General statements of purpose are found in the by-laws or articles of incorporation of the private centers visited, while more specific articulations of goals and objectives appear in their annual reports and program plans.[37] Program summaries often are prepared for release to the press, the public, and residents and their families; such pamphlets generally include succinct statements of purpose.[38] Newsletters and magazine articles also serve to define and make known the goals of the center.[39] Center goals and objectives, described with some precision and prioritized, should be translated into written policy and assessed periodically.

The task of preparing written policy statements is a source of difficulty for some centers. Although policy and procedure manuals should facilitate operations, some center directors report that an inordinate amount of time at board meetings is devoted to the clarification of agency policy. It must be understood that the process of policy formulation and reassessment is important, not merely the existence of a manual. A paperwork product should not be considered a substitute for process.

The center also should prepare a manual or manuals detailing administrative and operational procedures. Each major sub-unit within the center should have its own manual. The availability of these manuals to all staff should facilitate consistency in center operations. Efficient management of resources and supervision are enhanced when all personnel know what is expected of them and understand the functions of others. These manuals should include a statement of purpose and a open-ended number system. All manuals should be updated as necessary and reviewed annually by the administrator and/or designated staff.

- Periodic Assessment

The center administrator should undertake periodic assessments of center operations at least annually to determine the degree of compliance with policies and procedures and to establish whether programs and facilities are cost-effective and contribute to the stated goals of the center. Assessment should consider where the agency wishes to be and where it is at the time of assessment. The process should lead to the development of practical and specific plans to close gaps and realize stated goals. In the final analysis, assessment must focus upon product rather than process and upon substance rather than form.

- Periodic Reports

Most states require periodic reports of various kinds as a condition of continued operations. Center administrators should prepare and make available to employees and the public reports that include narrative and statistical data on center goals and objectives, programs, population served, services provided, budget, major developments, problems and potential solutions, and plans for the future. Such reports inform the general public, elected and appointed officials, agency personnel, and others about current programs, policies, and accomplishments;

and they provide an historical perspective depicting the development of the center over time.

- Code of Ethics

Center personnel may have their own value system and an unwritten set of shared understandings. Nonetheless, the center as an organization should have a written code of ethics to guide the actions of all personnel. Among other issues, the code should specifically address conflicts of interest and how they should be handled. Improper influences on decision-making can irreparably harm the center and its programs. Safeguards should be established to insure that all personnel actions and decisions relating to cases are based solely on merit. Policy should clearly state that persons connected with the center shall not use their positions to secure personal privileges. Accepting gifts or gratuities from an offender or engaging in personal business transactions with an offender or his immediate family should be forbidden.

A code of ethics is a means of encouraging ethical conduct by center staff, but it cannot, of course, guarantee that employee behavior will adhere to some recognized standard. As a complement to the code, which serves as a "conscience," the administrator should establish and enforce clear policies governing employee behavior and insure that his own behavior conforms to the highest of ethical standards.

The code of ethics also should reiterate written policy requiring compliance with statutes and regulations relating to campaigning, lobbying, and other political practices. To avoid conflicts that may adversely affect the provision of services, the center and its staff should remain non-political.

- Intra-Agency Communications

Many community correctional centers are casual organizations with informal patterns of communication. Formal channels of communication, however, should be used for delegating authority, assigning responsibility, supervising work, and coordinating efforts. Designated channels of communication, both vertical and horizontal, should govern activities and working relationships within the center's programs and facilities. Communications should be timely, accurate, and comprehensive, covering all that employees need to know to carry out their duties. While alternative channels of communication or extraordinary situations should be developed, written policy should clearly define the normal channels of communication within the center.

The administrator should provide ongoing interpretation of center policies and procedures to all staff. As suggested by a variety of research findings, an appropriate technique for insuring staff understanding of and commitment to center operations is to encourage staff participation in the development and review of organizational policy and procedures, goals and objectives, programs, and rules and regulations.[40] Employee participation in scheduled staff meetings, staff training, and review of manuals and directives should enhance mutual understanding, and stimulate open communication.

CHAPTER VII

CENTER PERSONNEL

While the effectiveness of community correctional efforts is impacted significantly by administrative and organizational arrangements, the vitality that enables a correctional agency to accomplish its goals and objectives is provided by its personnel. The many decisions concerning personnel, including qualifications, recruitment, selection, promotion, and personnel practices generally, are among the most challenging of those made by correctional management. Correctional efforts cannot be better than--or separated from--the personnel engaged in making them.

The management of human resources within the community correctional center ultimately is the responsibility of the center administrator. Human needs and expectations must be meshed with the behavioral and technical demands of the organization against the backdrop of organizational goals and objectives. The administrator must implement social, psychological, and technical systems to assist him in recruiting, directing, and controlling both center employees and its various support groups.[1]

General Considerations

Center personnel policies and procedures should be written, maintained in a single document, and available to all employees. Administrative and supervisory staff in particular should be thoroughly familiar with them. The manual of policy and procedure should be reviewed annually and updated as necessary. Materials developed by other public agency personnel boards in the jurisdiction, as well as private agencies and industry, can aid the development, assessment, and modification of center personnel practices.[2]

Information gained from site visits and from the public administration literature generally indicates that personnel policies are much discussed but often ignored in daily operations. In part, this appears to be a product of narrow conceptions of the scope of such policies. At a minimum, personnel policies should cover recruitment; job qualifications and descriptions; affirmative action and equal opportunity provisions; employee-management relations; in-service training and staff development; grievance and appeal procedures; employee evaluation; personnel records; salaries, wages, and fringe and other benefits; leave, hours of work; disciplinary procedures; promotion, and retirement, resignation, and termination. Policies concerning these and other personnel matters, approved by the government agency responsible for the public center or by the governing authority of the private center, should insure equitable and consistent treatment for all personnel.

The range of job-related constitutional rights guaranteed public employees has broadened significantly over the last fifteen years.[3] Public sector employment is no longer considered a privilege for which the employee must surrender some of his rights as a citizen. All citizens enjoy certain substantive rights, such as those found in the First and Fourth Amendments to the U.S. Constitution. Although courts are reluctant to intervene in the administrative process to protect employee rights, they have ruled that employers must adhere to the requirements of due process before terminating an employee. An employee cannot be removed on arbitrary grounds or without a procedure calculated to determine whether legitimate grounds for termination exist.

Since the competencies of staff significantly impact upon the center's success or failure, personnel qualifications should be defined broadly to include personality traits and temperament, as well as education, experience, and other more traditional concerns. Policy and procedure should require the selection, retention, and promotion of all personnel on the basis of merit, specified qualifications, and competitive examinations (written, oral, and/or performance-oriented). Written job descriptions for all positions in the center, of course, also should include conventional elements such as job title, responsibilities, required minimum experience and education, relationships to other positions, and remuneration.

Personnel policies and procedures, job descriptions, and qualifications should be reviewed periodically and modified as necessary. Center goals and objectives change over time, requiring reassessment of staffing patterns and functions and adjustments to accommodate new directions or emphases. At a number of sites visited, for example, associate director positions were created after it was determined that the director needed to be able to invest more time in the community. At other sites, the addition of new program components (e.g., volunteer services) required the employment of additional personnel to fulfill new functions and perform new tasks.

The community correctional center should maintain a current, accurate, and confidential personnel record for each employee. At a minimum, this record should include the initial application, reference letters, results of employment and educational verifications, wage and salary information, job performance evaluations, and commendations or disciplinary actions. Employees should have access to their own personnel files to verify that information is current and to check for omissions or inaccuracies. Written policy and procedure should permit employees to challenge information in the personnel record and allow for its correction or removal if proven inaccurate or inappropriate.

Personnel records should be protected from unwarranted examination. Agency policy should explicitly identify those persons who will be permitted access to the personnel records, as well as the conditions for such access. Personnel files should be marked "confidential" and secured when not in use by authorized persons.[4]

The community correctional center cannot operate effectively in the absence of specific procedures for the recognition and resolution of legitimate employee concerns.[5] The center must have policies and procedures for responding immediately and effectively to problems that may develop in employee-management relations. These should include specific assignment of responsibility and precise delegation of authority for action, steps for resolving grievances, and an appeal procedure.

Although strikes and other job actions by employees in the public sector are generally prohibited by law, there have been a variety of work stoppages and job actions by public employees, including slow-downs and en masse sick calls. The courts have tended to uphold legislative actions designed to prevent correctional employees from engaging in activities that interfere with agency operations, but the administrator of the center should prepare and plan for such contingencies.

Depending upon the nature of the particular program and facility, normal operations may be continued during a job action or strike through the use of supervisory, paraprofessional or volunteer personnel. Other contingency plans may include asking local law enforcement agencies for assistance or transporting the resident population to other facilities. Contingency plans must be available to and understood by supervisory personnel, who should be fully prepared to implement them.[6]

Site visits at several community correctional centers revealed considerable diversity in manpower planning and recruiting, involvement of ex-offenders, volunteers, and paraprofessionals, and qualifications for professional personnel. Such localization is appropriate, for there are differences in local structures and criminal justice processes. The following sections thus serve as a reference point rather than as a series of prescriptions for personnel recruitment, selection, and utilization.

Recruitment, Selection, and Deployment of Personnel

Manpower planning and recruitment must focus upon the goals and objectives of the center, its facilities and programs, characteristics of clientele, legal requirements, and the like. Particular attention should be given to developing workloads rather than caseloads as the basis for manpower planning.[7] The argument for this point is best illustrated by two different community correctional center models. In Duluth, programs were oriented to provide direct services to clientele. Work-release, educational, social, and medical services were provided by center staff. Des Moines, on the other hand, operated on a brokerage model, linking the offender to appropriate community-based services. These two approaches--each "right" for its community--are distinctly different and require different staffing levels, patterns, and qualifications. It is important to call attention to the fact that neither the direct nor the brokerage mode for delivery of services are absolutes; both may be utilized.

Regardless of the center model followed, the community correctional center should have an "affirmative action" program that complies with all law and government regulations and has been approved by the appropriate government agency. This program should insure that all persons are able to compete equally for entry into and promotion within the community correctional center. The program should seek out qualified minority and female personnel and encourage their employment in the criminal justice system and its agencies.

Some centers, including Des Moines, have attempted to reflect the racial and sex distributions of their clientele in their staff composition. Apart from any legal requirements for such a policy is the administrative mandate to manage human resources in a way that maximizes accomplishment of center goals and objectives. Denial of equal opportunity and equal treatment also is a disservice to the community served by the center. To document implementation of its affirmative action program, the center should review progress annually and make any necessary modifications.

As a general principle, any individual with the required education, experience, and characteristics should be eligible for employment in the center organization at the level at which he or she is qualified. Personnel policies should provide for promotion from within and lateral entry across as well as within jurisdictions in order to obtain the best qualified individuals to fill positions.[8] Lateral entry should be accompanied by transfer of retirement credits where statutes permit.

All center personnel should possess those personal qualities generally required for effective work in the human services. Center employees should be familiar with and tolerant of the sometimes unusual lifestyles of center residents and the communities in which facilities are located. Service delivery will be compromised if staff or volunteers are judgmental, insensitive, or intolerant of clients or their cultural backgrounds.

The strategy used to fill positions in the community correctional center also must be sensitive to current requirements regarding selection and screening processes. Employment procedures and processes and qualifications for employment eligibility in public and private organizations now must be related directly to job requirements.[9] In the landmark case of Griggs vs. Duke Power Company, the U.S. Supreme Court held that the lack of intent to discriminate was not an allowable defense for challenged selection procedures.[10] This case was decided upon the Court's interpretation of Title VII of the 1964 Civil Rights Act and decisions based upon the Equal Employment Opportunity Act of 1972 have further strengthened the provisions of the 1964 Act.[11]

Citizen Involvement

Citizen involvement in center operations is essential, but the nature of the involvement should be defined and delimited through a process that includes some type of citizen committee. This committee, representative of local citizens and a link between the center and the community, should participate in the establishment of policy and procedure for citizen involvement and volunteer service programs. Policies and procedures must address lines of authority, responsibility, and accountability for programmatic activities,[12] as well as selection, orientation and training, terms of service, and identification and definition of tasks.[13] The organizational structure and the goals and objectives of the citizen involvement program should be understood by citizens so that their voluntary involvement is not diminished by misunderstandings. (For example, policy should explicitly preclude citizens from loaning money to clients, violating confidences, transporting contraband, etc.). An initial orientation and training program and continuous supervision and guidance from designated staff should be provided. Citizens must agree to abide by center rules and regulations. Most importantly, the citizen group should represent a cultural, social, and economic cross-section of the community served. The extent to which this objective is achieved is one measure of the extent to which the center is "community-based."

The importance of citizen involvement is such that the center administrator should assign a senior staff member to oversee this function. This staff member should provide citizens with supervision and direction, support, and resources, acting as both a facilitator and a communicator. The Dodge, Filmore, Olmsted community correctional system, headquartered in Rochester has some 600 volunteers involved in its community-based system. These citizens are coordinated by a professional staff member. Des Moines also has a full-time staff member to coordinate volunteers in such diverse activities as education, recreation, problem-solving, and counseling. Any center administrator must balance the benefits of citizen involvement with potential risks. Written policy and procedure should authorize the administrator to limit, postpone or discontinue the services of citizen volunteers and/or their organizations when substantial reasons for doing so can be demonstrated.

Ex-Offenders and Paraprofessionals

Ex-offenders are an important manpower pool.[14] Indeed, many have academic preparation and appropriate experience, and warrant consideration for professional employment. A program of selection, orientation, in-service training, supervision, and advancement of ex-offenders may be an important center resource, while at the same time serving as a model for employment of such individuals by business and industry. The use of ex-offenders should facilitate the delivery of some program services, conserve resources by allowing professional personnel to accomplish tasks for which they are uniquely qualified, and enhance communication among center staff, residents, and the community. Ex-offenders and "street people" employed by the Des Moines supervised release program were among the most successful center employees in dealing with the most difficult clients.[15]

The term "paraprofessional" is without precise definition; therefore, it is important that the community correctional center establish standards for the employment and use of such persons. It must be noted that the term "Paraprofessional" refers to ex-offenders as well as non-offenders. The following four types of tasks have been identified as appropriate for paraprofessionals: (1) direct service to clients; (2) data gathering; (3) escort; and, (4) agency and personnel development.[16] After the tasks to be accomplished by such employees have been specified, qualifications for paraprofessional positions should be set down in writing. Several centers have made effective use of paraprofessionals in pre-trial release programs; ex-offender paraprofessionals have been used successfully in Vancouver and Des Moines.

Training for paraprofessionals not only contributes to accomplishment of center goals and objectives; it also provides opportunities for upward mobility and the development of career patterns.[17] Several centers have made good use of Comprehensive Employment Training Act (CETA) employees to both supplement their staff and to introduce novices to career opportunities. Colleges and universities may find ways to place students in internships or to provide them with academic credit for paraprofessional work experience.

Professional and Supervisory Personnel

As a general rule, the qualifications for professional and supervisory personnel should duplicate those established by recognized professional groups. Waivers should be explicitly identified, restricted by personnel policy, and granted against guidelines that consider center goals and objectives. Factors other than education, training, and experience should be considered (e.g., personality and temperament), but such traits are no substitute for professional skills. The experiences associated with advanced education have been identified as significant in developing astute decision-makers.[18]

Within the community correctional center and its administrative units may be found a variety of special skill requirements ranging from fiscal management through social work. Managers of these specialized units, as well as their subordinates, should have professional status by virtue of specific preparation in their fields. Educational, operational, and administrative qualifications should be specified in writing and constructed to facilitate accomplishment of center objectives. A major bonus of qualified staff is the credibility of the center with the general public and with both justice and non-justice agencies.

The educational, operational, and administrative qualifications of the center administrator also should be specified in writing by the appointing authority. Among other requirements should be a baccalaureate degree in one of the social or behavioral sciences, five years of related administrative experience, and demonstrated administrative ability and leadership. The administrator must have sufficient education and experience to deal with a variety of complex tasks that require an understanding of individuals and social behavior, community organization, basic management principles, fiscal processes, funding sources and processes, social service resources in the community, and legislation and case law. He also should possess writing, speaking, and decision-making skills and be politically astute and experienced. Each of these requirements is enhanced by education and experience. The appointing authority should establish high qualifications, disseminate them widely, and recruit and hire against the standards.

In-Service Personnel Programs

In-service personnel programs should be conducted through a management-by-objectives framework and include performance appraisal, promotion and tenure, compensation, and training features. Each of these contributes to employee motivation which, in turn, is a key to the achievement of organizational and personal goals. Management-by-objectives requires managers and subordinates to set short-term objectives, monitor progress toward their achievement, undertake evaluations, and make adjustments as necessary.[19] The participative nature of the process, the use of specific objectives, the provision of control through monitoring and feedback, and its general systemic nature make management-by-objectives an appealing strategy. At the same time, the employee is given an opportunity to influence his work environment, express his individuality, and is encouraged to use the work setting to address his self-concept, needs, and goals.

Tenure, Performance Appraisal, and Compensation

Because community correctional centers often are fully or partially funded through grants, opportunities for tenure or job security may not be possible. To the extent that it is reasonable to do so, however, all employees of the center should be appointed initially for a probationary period. Upon completion of the probationary term, a center employee should have permanent status. Tenure should be dependent upon the successful performance of duties during the probationary term. Performance during that period should be evaluated periodically and discussed with the employee and any person not performing satisfactorily should be terminated during the probationary term.

Tenure is necessary in order to attract the most qualified individuals and to minimize the possibility of political or other partisan pressures. Dismissal of the public center employee should occur only in cases of malfeasance or unsatisfactory performance of professional duties and following a formal open hearing on specified charges. Dismissal of a private center employee should be in compliance with explicit procedures identified in the by-laws of the governing authority.

The improvement of both individual and organizational performance may be enhanced by an annual appraisal of each center employee. The center may supplement the supervisor's performance reviews with an employee's self-assessment and/or peer evaluation. The review and evaluation process should be objective, discussed with the employee, based on specific job criteria and performance standards, and a matter of record. Evaluation should serve as a motivator, as well as a foundation for merit pay increases and promotion.[20] It is particularly important that the center administrator not allow the crisis orientation of the center to become an excuse for ignoring systematic appraisal of individual and organizational performance.

Salaries and benefits for all center personnel should be competitive with those of other criminal justice agencies in the jurisdiction and with comparable occupational groups in the private sector. Competitive salaries and benefits represent a commitment to community corrections and are necessary for the recruitment and retention of high-quality staff. The salary range should provide for regular increases based upon merit and performance evaluation, with adjustments annually to reflect changes in the cost of living. Although salary continues to be the primary measure of remuneration, benefits (vacation, sick leave, disability, retirement with pension, etc.) should also be competitive.

Employees of a community correctional center should recognize that opportunities for promotion within the center are limited and that genuine career ladders are difficult to develop. Such organizations tend to be small and opportunities for upward mobility limited. Exceptionally able personnel often have responded to this problem by moving to another jurisdiction to acquire additional responsibilities, experience, and compensation. Small centers, unfortunately, are often tempted to fill a departed supervisor's job with a junior staff member on the assumption that the less seasoned employee on-site is more likely to be able to assume the supervisor's post than is an outsider. This is not necessarily so: internal promotions should coincide with the employee's readiness to take on more responsibility. Some centers have addressed this problem by gradually redefining and expanding the junior employee's job as he grows within the organization.

Staff Development

Site visits revealed that training efforts in smaller community correctional centers tended to be informal, on-the-job, one-to-one activities. A calculated effort should be made to provide a more comprehensive staff development program for center personnel. Despite the pressures of daily operations, a center training program should consist of relevant education and in-service experiences that enhance accomplishment of the center's mission.[21] The staff development program should be coordinated and supervised by a qualified employee at the supervisory level. In small centers this work will be assumed by the director. But in larger organizations there should also be a staff development advisory committee composed of representatives of major administrative units. This committee should meet on a regular basis to plan the staff development program, review progress, resolve problems, and generate a plan for evaluation of all programmatic activities. The overall program should be developed in collaboration with criminal justice and non-justice agencies at all levels of government and with colleges, universities, and community organizations. Community or junior colleges are a particularly useful asset to such training programs.

Ideally, the community correctional center budget should include funds for a staff development program. Budget items should provide for reimbursement of expenses incurred by staff, additional time spent in programs, replacement of personnel, library and reference services, space and equipment requirements, and professional trainers. The staff development program should receive high administrative priority and adequate fiscal resources.

An ad hoc budget process for education and training activities generally is inadequate; the program should be formally planned and budgeted whenever possible. The use of public and private agency resources (industry, educational institutions, and community) should be considered.

If any single training program can be described as mandatory, it is the initial staff orientation to programs and facilities. New center personnel, regardless of status or title, should receive an orientation to center policies and procedures. This orientation should include, at a minimum, a history of the center, an explanation of its relationship to the parent organization and the criminal justice system, as well as familiarization with center goals and objectives, job responsibilities, personnel policies, and rules and regulations. Supervision of residents also should receive special attention in the orientation. The orientation should take place during the first week of employment and be provided by center supervisory personnel. This task was accomplished in Des Moines by a system of employee job rotation through all program components. In this way the new employee not only met the other staff members; he observed the programs in action. The Orange County (Florida) replication project planned a similar program to rotate managers through various programs for their professional and personal enrichment.

If resources are adequate, all center employees should be involved in subsequent in-service training. This program also should have high administrative priority, be adequately staffed and financed, and be developed and implemented to serve center goals and objectives. The training program should enable all employees to acquire new skills and refine old ones, familiarize themselves with developments in the field, and reinforce their knowledge and understanding of their job. Resources from within and outside the center should be used in the training program.

Beyond participation in in-service training programs, policy and procedure should encourage personnel to continue their education in other ways. Administrative leave and reimbursement for expenses should be provided to employees attending professional meetings, seminars, and similar work-related activities. The center should assist its employees to continue their education by such practices as allowing some work time to be used for class attendance, staggering work hours, defraying some of the costs of the education or training and helping employees to secure financial assistance through programs such as the Law Enforcement Education Program. Every effort should be made to coordinate education with current and projected staff responsibilities.

Staff of the community correctional center also should be encouraged to maintain membership and participate in professional associations and activities on local, regional, and national levels in order to contribute to the collective improvement and upgrading of criminal justice in general and corrections in particular. Such participation facilitates keeping up with and contributing to developments in the field. The center should provide for administrative leave and reimbursement for employees attending selected professional meetings, seminars, and similar work-related activities as a means of encouraging such participation.

The range of special training requirements may vary, but they often include such diverse subjects as supervision practices, security procedures, fire and emergency procedures, first aid, resident rules and regulations, rights and responsibilities of residents, communication skills, report writing, human relations, and social service networks.[21] This specialized training should be continuous. Administrative and managerial staff also should receive specialized education and training to enable them to respond effectively to center problems and to achieve center goals and objectives.[22] The participation of senior staff in such activities also serves to accentuate the importance of ongoing education and training. Improved decision-making should be a focus of this specialized training, which should include such subjects as administrative and management theory and practice, decision-making processes, labor law, employee-management relations, and interactions of criminal justice system agencies.

Personnel of the community correctional center who work with residents who have special needs should receive continuous training related to these specific needs. Resident and non-resident populations of the center most likely will include some individuals whose needs will be a function of alcoholism or drug addiction or physical, mental, or emotional handicaps. Pre-service and in-service education and training should enable staff to diagnose and treat such residents either directly or through the development and use of community resources.

Finally, all personnel of the center should be trained in self-defense techniques and appropriate methods of physical force to control resident and non-resident populations when necessary. The use of physical force should be a last resort and the minimum force required to control the situation should be used. The circumstances under which the use of physical force is authorized must be the subject of written rules and procedures that are known by all staff personnel. However, if center personnel find it necessary to use force in self-defense or to preserve life and property, the techniques utilized must be effective.

CHAPTER VIII

PROGRAMS

An examination of the history of American corrections reveals a remarkable variety of programming, ranging from penitence and isolation to the community-based emphasis of today. An historical review also shows that while each successive "innovation" has been discarded, some residue is always left behind. The past clearly influences the present.

Few would argue that correctional efforts have been completely successful--a state of affairs that may be in part a product of our ignorance and/or refusal to consider available data. Among the lessons that should have been learned over the years is the fact that community-based corrections, with comprehensive programming and service delivery, appears effective for large numbers of offenders. Comprehensiveness is indeed the key: a wide variety of employment, educational, training, health, recreational, leisure-time, financial assistance, and counseling programs is required to meet the diverse needs of offenders in the community. There also is a need for flexible, individualized programming, for review and modification of programs to insure relevance, and for monitoring of case progress and case managment. Community corrections involves the pragmatic application of a philosophy which argues that the ultimate test of correctional effectiveness is the offender's behavior in the community.

It has already been suggested that a community correctional center should have two or more programs in one or more residential facilities. Offenders must be supervised in the community as well as in the residential facility. Services may be delivered directly by center staff or through contractual arrangements, but coordination of these two types of service is essential. Whatever organizational linkages are created between the center and agencies of the criminal justice system should be clearly defined and articulated. Services must meet identified needs and evaluation of performance is essential. Site visits and a review of the literature indicated that centers defined as "successful" have constructed their programmatic activities upon such principles.

This chapter is concerned with center programs generally, but it must be understood that programming in a community correctional center is only one part of a comprehensive community correctional system.[1] The programs offered by any community correctional center will vary with the philosophy of the center, but there must be a relationship between philosophy and program. A continuum may be constructed, one end of which represents the strategy suggested by rehabilitation, in which the offender is encouraged in a variety of ways to adopt a lifestyle centered on lawful conduct. The other end of this continuum is the strategy suggested by the concept of reintegration, the essential component of which is supervised community living. Moving from philosophy to more pragmatic concerns, there is a service delivery continuum. At one end of this continuum is the decision to provide most services directly to clientele through the center staff. At the other end is the orientation toward utilizing contractual delivery and negotiating for the provision of services from other community resources.

The local community and its correctional and justice systems must determine where on each continuum their programs will be located, with full recognition of the unique circumstances pertinent to the particular center. Although the importance of such "localization" should not be underestimated, the non-direct (contracting and brokerage) end of each continuum is emphasized here. This focus implies a preference for maximum use of existing community resources, individualized reintegration planning, and both employment and family counseling in a community context.

General Program Management

Among the most important written policies of the community correctional center is a comprehensive statement describing its current treatment philosophy, facilities, services, programs, and resources. This statement should reflect the needs assessment conducted in the community in the planning stage. This statement should be disseminated widely--to staff and residents, referral sources, other criminal justice and non-justice agencies, funding sources, and the general public. It should reflect realistic and carefully articulated goals and objectives. To avoid problems later on, such a statement should promote accurate expectations and create a baseline set of standards.[2]

As noted in Chapter V, correctional agencies, center administrative staff and community leaders must select a predominant service delivery mode. Selection of a direct or non-direct approach for the provision of services will determine whether the community correctional center, through its programs and facilities, will provide directly or make referrals for such services as supervision in the community; shelter; food; emergency financial assistance; individual and group counseling; transportation; medical and mental health; and vocational, employment, and educational counseling and placement. The wide range of services that may be required by center clients may best be provided by some combination of direct center delivery and referral to other community resources. Successful centers determine and define the services required by their clientele and then decide how those services can be delivered most efficiently and effectively.[3] The appropriate balance between services provided by the center and those for which referrals are made is, of course, a function of available resources of all types, including personnel, funds, time, and space. The budget of the center however, should include funds for the purchase of needed community services that cannot be secured by voluntary means.

Regardless of the service delivery model selected, all programs should be designed to meet identified needs. Each activity should receive professional staff supervision to insure that resources are used efficiently and effectively and that their use is directed toward meeting center goals and objectives. Several centers visited used personal "contracts" between the offender and the center to focus resources and target the energies of the client. Completion rates for these "contracts" then were used to measure program success and management quality. Concern for the quality of management, the assessment of needs, the formulation of objectives, and the willingness to be held accountable are responsive to intensifying citizen demands for good government. The managers of successful centers understand the importance of growing public resistance to increased taxes and the need to compete effectively for scarce resources.

Assessment strategies for evaluating center performance are reviewed in Chapter XI. At this point it is sufficient to note that the government agency responsible for the public center and the governing authority of the private center should require ongoing assessment of facilities and programs to determine their contribution to the accomplishment of center goals and objectives. Assessment should focus on the investment of center resources as they affect the client, the justice system, and the community. One product of periodic assessment should be the re-examination and possible rearrangement of priorities. Successful community correctional centers visited actively sponsored periodic program assessments involving advisory board members as well as staff and clientele. In the Dodge-Filmore-Olmsted community corrections system, assessment by the advisory board and its subcommittees was supplemented by a consumer-oriented study of probation programs.[4] And in Vancouver, Washington, a comprehensive assessment was conducted by the Health and Welfare Planning Council.[5]

Managing Program Participation

Managing program participation involves the development and implementation of policy in the areas of intake, orientation, classification, and programming.

Intake

Site visit data and a literature review indicated that the discretion exercised by center personnel in accepting or rejecting candidates for the center was neither clear-cut nor consistent across jurisdictions. At one extreme, discretion on the part of the center personnel in determining admissions was absolute; at the other, the committing authority unilaterally referred clients to the center. In most centers, however, a middle ground was the norm; the committing agency referred clients to the center and the center exercised some discretion in accepting or rejecting referred clients. The degree of discretion allowed a center was influenced by a number of variables, including the legal status of the offender, offense and offender characteristics, and the public or private nature of the center. Overall, the managers of successful centers were sensitive to and aware of other decision-makers' problems with regard to program participation. These managers understood the need for flexibile responses and for maintaining rapport with representatives of the justice system.

Flexibility, it must be emphasized, does not mean compromising essential principles. The community correctional center visited had developed written policies and procedures governing intake, with emphasis on eligibility and suitability for participation in their programs and facilities.[6] Among such policy statements was the stipulation that only those individuals who agreed to participate in center programs and were willing to be governed by center rules and regulations were admitted. This requirement is considered essential by management in most community-based programs because it is believed that the client must take personal responsibility for his life and for altering his behavior. This principle is considered so basic that several centers have instituted a policy to return to the county jail any resident who fails to maintain a satisfactory level of performance in the community. This policy tends to motivate client commitment to programs, thus enhancing the potential for success, and also serves as a reminder to all that the community correctional center is an alternative to, not a substitute for, the local jail.

Intake policies and procedures should cover the criteria for admission to the community correctional center, the information to be obtained on potential clients prior to acceptance, and the procedures to be followed in accepting or rejecting referrals. A statement of intake policies should be distributed to referring agencies, funding sources, and the general public. The wide dissemination of information on eligibility will avoid confusion and misunderstanding, assist other agencies in making appropriate referrals, and enable referral sources to inform potential clients about the nature of center facilities and programs.

Admissions criteria vary from one center to another. Many residential programs are reluctant to accept clients with problems such as alcoholism or other addictions; others preclude certain offense categories, such as arsonists or sex offenders; almost all deny admission to mentally disordered and aggressive or violent offenders. Some centers have devised lengthy screening procedures, such as the two-week evaluation required in Des Moines. Other centers, such as PORT, have an elaborate evaluation period during which the candidate for admission resides in the facility. The PORT screening committee includes a psychiatrist, a probation officer, a community resident, the executive director, a counselor, and a client. This group determines whether the programs are "right" for the candidate and whether the candidate is acceptable to the program. In Vancouver, a similar committee, consisting of management, staff, and clients, reviews applications for the residential program.

Criteria for admission to the various centers generally are negotiated with local authorities and based upon center philosophy, program structures, and facilities. While there is a need for diversity to reflect local justice processes and the nature of the community, such localization appears to be difficult to achieve. Perhaps the best illustration comes from a review of release on recognizance (ROR) programs in the United States. These programs, generally descendants of the Vera Foundation efforts in New York City, are components of most community correctional centers. Many report that they have their own criteria for ROR and release, but a review of their criteria suggest that many jurisdictions simply borrow from one another with occasional modifications. This is unfortunate, since each jurisdiction should tailor its program admission criteria to particular client needs and to resources available locally.

Decisions regarding acceptance or rejection should be communicated to the referring agency expeditiously so that, in the event of an unfavorable decision, the referring agency can seek other resources on behalf of its client. If the decision is negative, the reasons for rejection also should be communicated to both the referring agency and the individual denied placement. Reasons for rejection should be in full accord with published center intake policies. The explanation will assist the referring agency in its future referrals and serve to keep communications open between agencies.

Orientation

As soon as possible following admission, a professional member of center staff should orient the client to center facilities, programs, and service and explain the rules, regulations, and disciplinary procedures governing client conduct. Any court-ordered or legal conditions also should be explained to the client, who should be given copies of all legal documents. A record of the interview should be dated and signed by both staff member and resident. Reception and orientation should be conducted in the language of the new client and adequate facilities should be provided for the reception and orientation process.

Orientation is a logical precursor to classification and programming. In several centers the orientation process includes a general educational, vocational, attitudinal, and behavioral evaluation. At the Des Moines Center, each new client also is asked to write a short autobiography, sketch out his own program, and indicate why he believes such a program would benefit him. Based upon this orientation procedure, clients are assigned to programmatic activities that match their needs with center resources.

Classification and Individual Programming

To assist in the evaluation and programming of offenders, the community correctional center should have a plan for the classification of clients.[7] The classification plan should specify the objectives of the classification system, detail methods for achieving these objectives, and provide for a monitoring and evaluating mechanism to determine whether objectives are being met. The design of an individual treatment program begins with an orientation, intake, and classification process that provides data about the client and includes him as a primary participant. Classification should identify and match client need with resources available either through direct delivery or through referral to community agencies.

Classification is the foundation upon which the treatment program is tailored to meet client needs. The process through which classification is accomplished should be detailed in a classification manual available to all staff. Intake and classification data also should serve as a basis for review and possible modification of center programs and facilities to better meet identified needs.

Smaller community correctional centers, of course, are unlikely to be able to meet all client needs, especially by direct service. Such centers will have to exclude some cases, arrange for volunteers, and/or negotiate contracts to secure services from the community. Although the overall criteria for eligibility are properly a matter for local debate, the center should not accept, orient, and classify any client whose needs it is not prepared to meet in some programmatic way. This position is consistent with the notion that the offender has a right to "treatment" from correctional authorities.

Admission of clients with special needs, such as drug addiction, alcoholism, mental retardation, physical handicap, or emotional disturbance, also must be a local decision. However, if these individuals are eligible for admission, then the classification process must be able to identify them and resources must be invested into meeting their particular problems. Centers adopting this position on "special needs" offenders should designate an individual to direct and secure special services for them.[8]

Program staff should develop an individualized program for each client that includes measurable criteria of expected accomplishments and a time schedule for their achievement. The program should be developed with maximum client participation and program design should begin soon after a client's admission. The individualized program should emphasize assisting the client to become responsible and independent, with reintegration into the community as the ultimate objective. Center staff should encourage family and community involvement as major components of the individualized program design.

Most of the centers visited encouraged the setting of short-range behavioral objectives to be met by the client and a systematic written plan of action for meeting them. Objectives must be realistic so that clients can learn to adjust their behavior to the normal demands of society. They also must be generally supported by the client, capable of achievement, and client-specific. Individualized plans that include both legal requirements (fines, restitution) and reintegrative components (work, budget plan) built into client programs are best. Program plans often are translated into a contract which is used as a basis to measure all client actions. This places major emphasis on performance and behavior rather than attitudes.[9]

Adjustments in individual programs will be required over time. Center staff, either individually or through some collective process, should review client performance periodically. Modifications in program or facility should be based on a systematic review of progress measured against individualized program designs. Just as it is important for the client to be involved in initial program development, it is also important for him to be involved in adjustments to his program. Changes should be noted in writing, dated, and made part of the case record. In a general sense this approach to program planning is analogous to management-by-objectives procedures in which managers and subordinates jointly set short-term objectives, monitor progress toward their achievement, and make adjustments as necessary.[10] The framework of management-by-objectives is particularly useful to the community correctional center because it helps the administrator persuade civic leaders that the center is well managed, accountable, and worthy of their support.

A major task of the center administrator is to insure that community resources are developed and utilized to support center operations, facilities, and programs and to provide services to center clients through referral or contractual agreement. The center should be a catalyst, mobilizer, organizer, broker, and developer of community resources in the interests of clients. These interrelated roles require an investment of resources. The center should maintain a cooperative working relationship with other public and private service agencies and a current inventory of resources available for use by center clients. Periodic assessment of those resources and appropriate assistance to those not operating efficiently will benefit the center and contribute to the achievement of its service delivery goals.

Program Components

Major programmatic activities of the community correctional center include: supervision, counseling, employment placement, education, job training, leisure time activities, health care, and financial services. Since supervision is fundamental to all other program components, it is given primary emphasis here.

Supervision

The supervision of offenders in the community on probation or parole is not markedly different from their supervision in a community correctional center. In both settings, supervision must be given high priority. The supervision program must provide for appropriate workloads, a 24-hour service and a full-time professional supervisor, a supervision plan, case conferences, and client contact.

Supervision may be provided through a variety of organizational arrangements. For example, a private center may provide community supervision and residential services under contract to a court or a probation/parole agency. A publicly funded center may be part of a larger correctional system that traditionally provides supervision to offenders, or it may be a separate and distinct organization charged with residential and supervisory responsibilities. Although the appropriate organizational model will vary with local circumstances, in general it will be wise to avoid the separation of residential from community services and supervision, the division of responsibilities for an offender among agencies, and the active supervision of an offender by more than one agency.[11]

The central objective of supervision is to reduce the probability of continued criminal behavior on the part of the client. This serves the interests of both the offender and the community. The supervision of clients by staff of the community correctional center or other agencies should be assigned top priority by the center administrator. Competing demands on scarce resources should not deter the administrator from allocating the resources required to insure adequate supervision. Supervision both within and outside center facilities generally is arranged in degrees of intensity. Clients new to the center may be given less freedom and more extensive supervision. As their behavior is observed and to the degree that they earn it, clients are granted increasing amounts of freedom and less supervision. Toward the end of their supervision period the client may enjoy virtually all the freedom of normal community living. This phased approach to supervision helps the client adjust gradually to increased freedom and responsibility and facilitates his adjustment to eventual release.

Several of the residential center programs visited consisted of stages through which a resident must pass before release to the community. Each stage involved increasing levels of freedom and privilege and greater accountability and responsibility. At each stage, if a resident experienced difficulty, he was helped to address the problem. Inability to handle increased freedom and responsibility resulted in a return to a more controlled state or retention at the same level until the client had resolved his problem and demonstrated a readiness to advance to the next stage.

The PORT program developed an interesting approach to this sequencing. A point system, based upon measured performance in tangible areas (e.g., weekly school and work reports, building clean-up, budget management, social activities) is used to determine the appropriate level of freedom and responsibility. The newcomer starts out at the bottom rung of the classification system, which consists of categories from 1 (minimum freedom) to 5 (freedom commensurate with that of an individual of the same age in the community). Progression up the ladder is accomplished through a combination of earning points and group decision-making. By demonstrating acceptable performance to the group and earning sufficient points, the resident gradually weans himself from PORT, gaining the freedoms and responsibilities normally accorded a person of his age.[12] Other centers had similar, although less formalized, programs.

Although some supervision occurs within center facilities, a significant proportion should be provided in the community. The ultimate test of supervision is in the community because it is within that environment that progress in the individualized treatment plan is best assessed. A phased program similar to that used by PORT is possible for clients who spend their entire time in the community.

All supervision, in the community and in the center, should be based upon a written workload/caseload formula for the allocation of effort and resources. Among the many factors to be considered in developing such a formula are: legal requirements; administrative tasks; geographic areas; types, and numbers and needs of offenders supervised; the communities in which supervision occurs; qualifications and experience of staff; and resources available. Differential supervision, ranging from intensive to minimal, should be available to meet individual needs.

Supervision within and outside center facilities, whether by center staff or staff of other agencies, should be available 24 hours a day. This may require split shifts, duty officers, all-night and weekend telephone numbers, or other special arrangements and procedures. Staff of the agency providing supervision should report to a full-time supervisor in order to enhance the effectiveness and efficiency of field supervision operations.

Regular case conferences between staff members providing client supervision and their supervisors should be held to discuss individual supervision plans as well as administrative and case management issues. Regular case conferences also permit assessment of compliance with agency policy and procedure, accomplishment of goals and objectives, and individual job performance.

Client classification for supervision should be requested by written policy similar to that governing their classification for program placement. Criteria should be developed to insure that neither surveillance nor service is provided beyond the level needed to reduce the probability of criminal behavior. Classification for supervision should protect individual dignity, promote fairness, provide for maximum client involvement, and allow for modification and amendment (reclassification) as warranted.

The community supervision plan should provide for staff contact with the client and with other persons and agencies familiar with the client and his progress. The number, type and location of such contacts should be specified. Staff of the supervised release and probation programs in Des Moines monitor any mandatory client attendance at evening educational, cultural, or informational activities. Additional staff time is devoted to follow-up on clients referred to community resources or placed in a job. Counselors at the Des Moines facility have similar responsibilities for clients in educational or work release programs.

Where the client is being supervised by another criminal justice agency, staff of that agency and center staff should develop a mutually satisfactory supervision plan with functions and roles spelled out in writing. This should help to avoid duplication of effort and conflicting expectations of client behavior. Collaboration between agencies should enhance community protection, streamline service delivery, and minimize inter-agency conflicts and misunderstandings.

Counseling

Perhaps the most common component of correctional programs is individual and/or group counseling. Counseling programs, both within and outside center facilities, should be tailored to identified client needs and be under the supervision of a qualified staff member.

Counseling should be undertaken as a part of an individualized program design. Program content should be defined broadly enough to include general personal appearance as well as attitude and behavior.

Regardless of content, counseling should be provided or supervised by an experienced and qualified counselor. Written policy should state acceptable workloads for counselors. In regularly scheduled case conferences, counselors and their supervisors should review counseling plans for individual clients, as well as administrative and case management issues.

Counseling can take many forms and the relationship between clients and counseling staff varies. In ROR or supervised release components of the community correctional center, counseling is likely to be voluntary because the client is unsentenced and involuntary participation may represent a violation of the rights of the accused. Much of the counseling that does occur in these centers thus is based upon a negotiated contract between client and staff.

The diversity of counseling requirements may be illustrated by the Des Moines experience. Des Moines counselors who work with supervised release clients utilize a one-to-one, reality-oriented, directive style. The objective of counseling is to help clients achieve a "track record" of stability and accomplishment that will qualify them for probation if they are convicted. The counselor usually sees 20-25 clients once a week. The nature and extent of counseling for probationers varies with the offense and personal needs. Intensive individual and "triad" counseling is available to residents of Des Moines. Individual counseling, focused on the client's progress in treatment, is conducted once or twice a week. Triad counseling, involving the residents who share a sleeping room, is conducted once a week. Triad counseling stresses collective responsibility and peer pressure since the negative behavior of one member may result in the loss of privileges for all three.[13]

Employment and Training

Center resources should be invested in finding suitable employment for clients and verifying that those employed are in compliance with legal and regulatory requirements (e.g., work permits, social security status, age, health and safety provisions). Employment is considered critical to success in almost every community-based correctional program. The investment of center resources in the employment arena should include liaison with public and private employment agencies, business and industry, labor unions, and community action and self-help groups. A wide range of employment-related services may be provided by center personnel, including assistance to clients in preparing resumes, filling out employment forms, and developing job leads. Center policy and procedure should insure that clients are performing adequately, working under acceptable conditions, and fairly compensated for their labor.

Job development units, located in both the Fort Des Moines facility and in the supervised release probation offices, probe the client's work background and goals, identify vocational constraints, and search employment service job banks on behalf of clients. Although Des Moines residents are transported to and from work, they otherwise are expected to take on the normal responsibilities of any employed worker. Job development staff periodically make phone and on-site checks to determine how clients are doing. Clients with little work experience or poor self-discipline generally are placed in lower paying, high turnover jobs, a strategy which provides a good learning experience for clients and protects the project in case of client failure.[14]

Many clients of the community correctional center are deficient in educational and vocational skills. This often means they are unable to obtain or maintain employment and as a result may not succeed in community correctional programs. Educational and vocational disabilities thus should receive special attention. Center personnel should find many opportunities for adults to continue their education and to receive vocational training. Liaison with local four-year and community colleges, vocational training programs, and high schools should facilitate the development of educational programs for center clients. Federal funds under a variety of program titles are available to assist adults in upgrading educational and vocational skills. Correctional clients should have the same opportunity to use educational and training resources as residents of the community at large. Careful attention also should be given to the educational and vocational needs of clients with physical, mental, or emotional handicaps or learning disabilities.

The PORT program in Rochester provides a particularly interesting example of a good relationship between a community correctional center and an educational institution. Resident counselors, typically college students, live in the PORT project building and room with the offenders. These counselors are considered vital to that program for, in effect, they replace the guard/counselor staff of the institution. In return for room and board, the students serve three primary functions: (1) they cover the building during off-duty hours; (2) they help to develop and maintain a "healthy" culture in the program; and (3) along with residents, they maintain the building.

Medical

By direct service or referral, correctional center authorities should insure that clients receive the medical and dental care they need to maintain basic health. The center should designate one individual to oversee the broad program area of health care services. This program should provide for preliminary health evaluation of each new client immediately upon arrival and prior to entry into center programs and facilities. A comprehensive health evaluation, including medical history, physical examination, and diagnostic tests, should be made as soon as practical after admission to the center. This is particularly essential for clients who will reside in center facilities. Center personnel also should make arrangements with local pharmacies for residents to secure prescription drugs and over-the-counter medications.

Control of client medication has posed continuous problems for residential facilities. Center staff generally insured control by a variety of procedures, including providing those residents who require medication the appropriate quantity at appointed hours in accordance with medical instructions, observing the ingestion of the medication, and returning unused quantities to a locked control cabinet. The time and circumstances of the administration of medication may be documented on appropriate records.

Policy and procedure should require medical examinations of any center employee or client suspected of having a communicable disease. Inmates of correctional institutions generally are not eligible for federally subsidized medical aid programs and the warden or jailer must pay the full cost of care in state or county hospitals. If, however, the offender is released on his own recognizance or is placed in a private residential facility, he may qualify for subsidized medical aid. Many public administrators have exploited such bureaucratic anomalies in ways that save local taxpayers millions of dollars each year.

Finances and Use of Leisure Time

Center staff should obtain financial assistance for clients from community resources and provide residents with money management counseling. The budget of the community correctional center should include funds designated for assisting clients who need financial aid at the beginning of their community program. These funds may be in the form of loans to be repaid after the client obtains employment. Center personnel should identify and maintain contacts with community resources, both public and private, that may be able to assist residents financially. For example, some clients may be eligible for unemployment benefits, welfare, or other types of public assistance.

Some centers have made arrangements with local banks and require center residents to place a certain amount of their earnings in savings as a part of their "contract." At other locations, the center maintains a savings plan directly. In some work release programs, the center deducts any legal charges, such as residential costs or restitution, from the client's pay check, then issues some funds to the client and deposits the remainder in the bank in trust for the client.

The community correctional center should encourage clients to develop acceptable and satisfying leisure time and recreational activities. Policy and procedure should encourage community involvement in center programs and client involvement in community activities, including those of a civic, artistic, athletic, cultural, religious, and social nature.

- Special Issues: Confidentiality, Cooperation, Arrest, Physical Force, and Searches

Staff of the community correctional center should maintain maximum confidentiality regarding the client's legal status to the extent consistent with public safety. Policy and procedure governing confidentiality should be developed collaboratively by the center, its parent organization, and criminal justice agencies. The use of unmarked cars, discreet visits to places of employment and residence, and the use of plain mailing envelopes are simple techniques to insure some measure of confidentiality.

The center should cooperate fully with law enforcement agencies in efforts to apprehend residents known to be or suspected of being involved in criminal activities. Prompt apprehension of clients involved in criminal activity helps to protect both the community and the credibility of the center. Center staff should establish and maintain effective two-way communications with local law enforcement agencies for the purpose of exchanging information regarding the illegal behavior of residents.

Where center staff are authorized to make an arrest, written policy and procedure should govern such practices, Personnel authorized to make arrests should be trained to do so. The arrest of a client by center staff is a serious matter and should be preceded by a case conference between the staff member and his supervisor.

The center administrator should insure that there is clear policy on staff use of physical force for self-protection and the protection of others, as well as for the prevention of serious property damage or escape. The use of physical restraint must be in accordance with appropriate statutory authority and executed with the minimum amount of force. Physical force should be a last resort. All incidents of the use of force by staff should be reported to the center administrator for review.

Specific policy guidelines should be developed to govern searches of clients under supervision in the community or residing in a center facility. The search of a client by center staff is a significant event; it should be controlled not only by policy and procedure but also by administrative supervision. Staff should understand how searches are to be conducted and the circumstances under which they may be authorized. All searches should be reported to the center administrator for review.

The center administrator should insure that all arrests and alleged technical violations are investigated immediately and that arrests for serious crimes and major violations are reported promptly to the proper authority. Policy and procedure requiring investigation of alleged violations or arrests should be vigorously enforced. Prompt review of the facts in the case by the proper authority protects both the client and the community.

Program Termination

Ideally, the community correctional center should seek termination of an individual's involvement with center programs and facilities when it appears that the delivery of services is no longer required to protect the community or enhance individual performance. The allocation of resources to persons who no longer require them is an unacceptable waste. This policy on termination is consistent with the phase-by-phase "contract" programs found in many community correctional centers, as well as with the indeterminate sentence philosophy that guides their operations.

Dependent in large measure on the nature of the community correctional center, there is likely to be a diverse collection of clients in center programs and facilities. Many of the agencies that commit, direct, or refer clients to the center will not have continuing contact with the client. Thus, it is essential that the center advise these agencies about those clients who no longer require services and recommend termination of their involvement in the program.

Written policy and procedure should provide for administrative authority to remove any client from center programs and facilities when it is deemed necessary to do so to preserve the health, safety, or well-being of others. Ideally, screening and classification should preclude admission of individuals who are disruptive to center programs and facilities. However, since screening generally is less than perfect, the administrator should have the authority to remove disruptive and dangerous individuals in the interest of protecting the community, center staff, and those clients who are making progress in the community-based program.[15]

CHAPTER IX

FACILITIES AND FACILITIES MANAGEMENT

Some years ago Austin H. MacCormick reportedly commented that if he had the right staff he could run a good prison "in an old red barn." There is every reason to believe that community, as well as institutional, corrections could be run from that "red barn," but even MacCormick would acknowledge that there are red barns and red barns. Dependent in large measure upon the goals and objectives of the community correctional center, a variety of facilities may be required for the delivery of comprehensive community correctional services. Indeed, several of the centers visited for this study owned and operated several different facilities.

Facilities management clearly includes much more than simply operating one or more facilities. It includes the establishment of policies and guidelines for the use of facilities, including rules and regulations governing resident and staff behavior, as well as compliance with a wide range of local building, health, safety, and related codes and ordinances regulating privacy, security, and accommodations. Facilities management is a particularly important task, for the quality and competence of management affects staff and residents, correctional programming, and the community itself. Special management problems also are created by food service, medical care, and contractual arrangements.

Every decision made about facilities significantly affects correctional efficiency and effectiveness. More obvious examples of this fact include the critical importance of location if residents are to have ready access to community resources. Also critical is the tolerance of local residents with regard to such visible correctional efforts as residential facilities and offenders in their community. Facilities, of course, are not ends in themselves; they are used to house people and programs. The concepts and principles presented in this chapter are equally applicable to residential and non-residential facilities operated by community correctional centers.[1]

Administrators are advised to be thoroughly familiar with Federal Wage and Hour law provisions for both employees and residents.

Facilities

Community correctional center facilities should not be isolated from access to those services most likely to be needed by center clients. Necessary community services may include employment and education/training opportunities, medical services, recreation and leisure activities, commercial services, and other community resources. Access may imply physical proximity, but just as appropriately may involve public transportation networks. Convenient access to required services is an essential component of successful community-based correctional efforts.

The three privately operated centers described in Chapter IV (Talbert House, Magdala Foundation, and the Mahoning County Residential Treatment Center) operate residential facilities in or near the downtown area of the urban centers in which they are located. Three of the four Vancouver, Washington, facilities also are located downtown, one block from the court house. Unfortunately, the location of the Fort Des Moines residential facility is at the edge of the urban area. That fact and the inadequacy of the local public transportation network make it necessary to drive the residents to and from work daily. Had the Des Moines center been able to locate its residential facility in the urban core area, the high costs associated with the van transportation pool might have been avoided. In contrast to the residential facility, the Des Moines ROR program, probation and supervised release programs, and the project's administrative offices are in or near the downtown area.

Center facilities should conform to all applicable state and local codes and ordinances, including those relating to zoning, building, sanitation, health, fire, safety, electrical, and plumbing. Center managers must be able to document their compliance with various legal requirements, not simply because they are mandated, but because the health and safety of staff and clients are involved.

Center facilities and grounds should be regularly maintained, clean, and in good repair. Local codes and ordinances require that minimum standards be met, but the importance of health and safety considerations for staff and residents is even more compelling. The public image of the facility also is an important factor: A run-down facility will quickly lose community support.

The two residential facilities of the Mahoning County Center are rehabilitated older business buildings. Their location and conversion was a natural consequence of this center's origins as a storefront counseling service. The six residential facilities of Talbert House and the four homes owned by the Magdala Foundation are older homes rehabilitated by center personnel. Magdala Foundation obtained some grant monies to assist in this effort. In both cases, rehabilitation of the buildings helped to preserve the neighborhood and contributed to the non-institutional character of the projects.

Center facilities should not have the appearance of a traditional correctional institution, but should blend into the surrounding community. It also is essential that facilities be located and designed or remodeled to insure the safety and well-being of staff and clients and the protection of property. The designers of facilities should consider carefully the requirements for security and safety and the "fit" with the community environment.[2]

While many residential facilities have been older homes within the core area of the city, several centers have different residential facilities which uniquely fit their purposes. The Duluth facility, for example, looks like an institution, is located in an isolated setting, and is operated as a prison work farm. The pre-release center in Montgomery County is located in a park designated for light industrial use. A secure facility, it is indistinguishable from the surrounding industrial buildings. The residential facility in Vancouver, Washington, is located downtown in an area zoned for semi-industrial use.

That residential unit was formerly a convalescent home and met the local standards for congregate care. In earlier years, the now closed Salt Lake City residential center was used as a hospital and was located in an area of mixed land use within the city. Although not like a prison in appearance, the Fort Des Moines residential community correctional facility is a remodeled two-story army barracks located on a military reservation. There are no bars, security screens, or fences; the windows are ordinary glass with no special locking devices.[3]

Center facilities should be inspected periodically by federal, state, and/or local sanitation, health and safety officials. These "external" inspections should be in addition to those scheduled by the parent governmental agency or governing authority. Center policies should require periodic internal inspections of center facilities and procedures for the inspections should be sufficiently detailed to insure completeness. This cross-checking of external and internal assessments further protects the health and safety of center staff and clients.

Demands on center facilities may range from sleeping quarters and other accommodations for residents to office space for center staff and locations for programmatic activities. Numerous trade-offs generally must be made in constructing or renovating a facility. These trade-offs, including the location of the facility itself, should be made with center goals and objectives in mind and an effort should be made to achieve an optimum balance of advantages and disadvantages. Efficiency and effectiveness in the use of fiscal and other resources should be major concerns.[4] A variety of local and state codes and ordinances may mandate accommodation requirements for a community correctional center residential facility. These requirements often should be considered minimal, but it is important that the facility be in compliance.

Residential facilities providing food service must conform to all sanitation and health codes, be adequate in size, properly ventilated, and suitably equipped, furnished, and decorated. Special attention should be directed to the food preparation area for it is particularly vulnerable to health and safety problems. Compliance with codes and ordinances and attention to the overall food service environment should help to avoid most problems. If possible, food preparation and dining areas should be separated, and center policy should encourage all meals to be eaten in designated dining areas.

The sleeping areas of residential facilities should be adequate in size, clean, comfortable, well-lighted and ventilated, provide some degree of privacy and personal storage space. Furnishings should be provided and residents held accountable for issued property. Although single-room occupancy is preferred, double-room occupancy is acceptable and is, in fact, the pattern observed in many centers. Furnishings (bed, mattress, chair, dresser, etc.) and a weekly change of linen should be provided, and residents should be accountable for all items issued. All sleeping quarters should be separated by sex.

The entire second floor of the Fort Des Moines facility is devoted to sleeping quarters. The area has been divided into 32 semi-private bedrooms, approximately 9 feet by 12 feet, which accommodate two residents. The facility also has several larger rooms that accommodate three to six residents. Typically, all bedrooms in center residential facilities have locking doors and the residents are issued keys. Inspections are often held on a daily basis and residents are expected to keep rooms clean and in order. All of the residential facilities visited also had a common area devoted to table games, television watching, socializing, etc. These areas typically were equipped with a television set, pool table, table tennis gear, pay telephones, vending machines, sofas, and easy chairs. Each of these residential facilities provided small, private offices for counseling and the larger facilities had created general offices which also were near the common areas.

The purchase, construction, renovation, or other acquisition and modification of the residential facility is often the biggest expense of the community correctional center. The publicly funded center may acquire a residential facility by leasing space, building a structure for residential purposes, obtaining an abandoned congregate care facility, or rehabilitating an existing structure. Privately funded centers often do not have this array of options. Many appear to be moving from rental of facilities toward purchase of buildings and some have rehabilitated a variety of existing structures. One private center, for example, bought an old home and obtained Model Cities monies to repair and rehabilitate it.

The relationship between the community correctional center and local citizens, merchants and residents is of special concern. The location of the center is a sensitive issue and opposition from citizens may become a formidible obstacle to the effective design, implementation, and operation of the center. It is noted, for example, that the Montgomery County Pre-Release Center, although programmed for construction in an industrial area to minimize local resistance, still met with some opposition which had to be addressed. Community resistance can be managed, but it requires attention from administration and staff, understanding on the part of center residents and program participants, and continuous interface with the community. But even with the center operational, personnel must maintain a close relationship with area residents to reduce the possibility of problems arising and to insure early solution to those that do emerge. Total honesty as a principle and the involvement of some type of citizen advisory group representative of the community organizationally appear essential. The administrator must make a continuous assessment of the center-community interface and insure that there is a viable vehicle for input and feedback for both center and community.

Facilities Management

Because inadequate facilities hamper operations and damage the public image of the center, annual review of space and equipment requirements should be part of an overall space and equipment management program. This program should consider the adequacy and efficient use of space, as well as such community factors as population shifts, changes in the social, cultural, and economic conditions of the area, and public transportation. The review should result in requests of the parent governmental agency or the governing authority to meet identified requirements if budgeted center funds are insufficient to meet space and equipment needs.

The staffing pattern of the residential facility should concentrate staff at those times when most residents are using the facility. Typically, this would be during the late afternoon and evening hours when a majority of these residents who work or attend school are likely to be at the facility. At least one regular staff member, readily available and responsive to resident needs, should be at the facility 24 hours a day. Volunteers may supplement, but not be expected to substitute for, regular staff in meeting the 24 hour a day availability requirement.

The center should have written policy and procedures to account for the whereabouts of residents at all times, both within and outside its facilities. Center staff should know the location of residents at all times, both for the protection of the community and to verify resident compliance with individual treatment programs. Procedures for determining where residents are should be simple and unobtrusive. They may include periodic physical counts, sign-in and sign-out rosters, telephone contacts with residents when in the community, and/or field staff verification of resident location.

The center should have written plans and procedures for controlling the movement of residents and non-residents in and out of the residential facility. The community correctional center should be a 24-hour-a-day facility. Monitoring resident movements is important for the protection of the community; controlling the movement of others in and out of the facility is necessary to protect staff, residents, property, and equipment. Elaborate and complicated security measures need not be implemented; such procedures as the use of only one door at night and requiring everyone to sign in and out should be sufficient.

The responsibility of the community correctional center for protecting the community requires prevention, detection, and reporting of absconders from facilities and programs. Some residents may be involved in center operations as a condition of probation or parole and absconding legally may amount to an escape from custody or violation of a condition of release to the community. The prompt reporting of the absconder to the judicial or correctional agency with jurisdiction and to local law enforcement agencies should be minimum requirements.

The community correctional center should have written rules governing resident conduct that identify chargeable criminal offenses. These should be distinguished from acts that are violations of facility rules. The center manager also should develop a range of penalties and disciplinary procedures available to staff. Center policies and procedures should insure that staff and residents are thoroughly familiar with the rights and responsibilities of residents, facility rules and regulations, and disciplinary procedures. During orientation the resident should acknowledge his understanding of rules and disciplinary procedures by signing and dating a copy of the regulations. Residents with a language or literacy problem should receive assistance from a staff member or other qualified individual under the supervision of a staff member.

Any resident who allegedly commits an act prohibited by statutory law must be referred to the proper authorities for consideration of criminal prosecution. Protection of the community and preservation of individual rights are enhanced by a policy that insures that acts or behaviors prohibited by statutory law are referred to the proper authorities. Such incidents should be reported promptly, not ignored or treated as "internal" violations of rules and regulations. In addition, facility rules and regulations should be established to promote order and facilitate center operations. Violations of these requirements should not be ignored by center staff or adjudicated on an ad hoc basis. Rather, apparent violations should be reported and actions taken according to established procedure.

Written policy and procedure, in compliance with applicable law, should govern searches of residents and the facility undertaken to control contraband or to locate missing or stolen property. Policy governing searches must be responsive to legal requirements and identify the conditions under which a search may be made, persons authorized to order a search, and the manner in which it will be conducted. Searches should not be conducted more often than necessary to protect staff and residents, property, and equipment.

There may be circumstances in which the management of a residential facility may wish to authorize the restraint or detention of a resident. General policy should preclude restraint or detention of a resident except when he is clearly endangering himself or others. Explicit criteria should be developed to serve as a basis for policy decisions by center management. For example, the center manager may wish to curtail a resident's liberty if there is strong evidence that the resident has been or is about to become involved in a criminal offense or if the resident's judicial status prohibits his leaving the program or facility and there is strong evidence to suggest he is going to abscond. If a resident is subjected to restraint or detention, the action taken should be responsive to legal requirements. Policy and procedure should identify the conditions under which restraint or detention is justified and by whom it may be ordered. The incident should be documented in writing, dated and signed by the responsible staff member, placed in the case record, and reviewed by supervisory and administrative personnel.

Facility residents should not be subjected to corporal or unusual punishment, humiliation or degradation, psychological abuse, or punitive interference with normal daily functions of living. The center administrator must insure that residents are not subjected to physical or psychological intimidation by staff or residents. Center staff should carefully monitor relationships among residents to insure that there is no unlawful assumption of authority or control by one or more residents over others. Loss of control by staff to residents will have a variety of destructive effects on the community and center

Neither staff nor residents of the residential facility should be permitted to possess any type of weapon inside the facility. Weapons should be prohibited because they represent a threat to the safety of the community, as well as to staff and residents. Policy and procedure also should govern the administration, security, control, audit, possession and use of controlled substances, prescribed medications, and over-the-counter drugs. Staff and residents should be aware of center regulations governing their possession and use. Written policy and procedure also should control the conduct of any urine surveillance program to include collection of samples, testing, and interpretation of results. These policies and procedures should be reviewed annually and updated as necessary.

All community correctional center facilities should have written emergency plans which are communicated to all staff and residents, posted conspicuously in the facility, tested by periodic drills, reviewed annually, and updated as necessary. Emergency plans should cover medical emergencies and such events as fire, explosion, and severe weather. The plan should include evacuation procedures, duties of personnel, and the location of emergency equipment and supplies and all exits from the facility. Staff and residents should be familiar with the plan and trained to operate emergency equipment.

Emergency first aid training of personnel which meets American Red Cross standards and emergency medical plans should be an integral part of center health care services and programs. Personnel should be trained in the most current emergency techniques and should be tested periodically for competence. First aid equipment and persons trained to use them should be available around the clock at all facilities and program locations. This equipment should be inventoried regularly. particularly in the case of the residential facility, emergency medical plans, including the location of hospital emergency rooms and "on-call" physicians, should be prominently posted, reviewed annually, and updated as necessary. Death, injury, accidents, and major illness may cause disruption and confusion both within and outside the center. A carefully articulated set of policies and procedures should reduce some of the disabilities generated by such serious incidents and also insure compliance with law and regulation.

The possession of personal property by center residents helps to maintain individuality and possession of funds is a valuable tool in making the transition to complete independence in the community. Limits, however, should be placed on the amount of property and funds which a resident can maintain in his possession or in facility storage. These limits should be reasonable, consistently applied, and made known to all residents upon entry into center facilities.

Personal funds and property of residents maintained by the center should be accounted for and carefully controlled by such procedures as receipts and vouchers for all transactions. Residents should be allowed to retain maximum feasible control over such funds and personal property. Personal funds and property should be securely stored and protected against theft, fire, and other hazards when not in use.

In a community correctional center that provides or contracts for food service, one staff member should supervise food service operations, including record-keeping and budgeting, purchasing, and accounting practices. Attention should be focused on insuring nutritional and economical meals, minimal waste, and cost-effective operations. Scheduled and unscheduled inspections by administrative, medical, and dietetic personnel should insure that facilities, equipment, and personnel meet safety, health, and sanitation standards. Periodic inventories and security for food supplies should be required.

If the center provides food service, written policy and procedure should specify the following: (1) food preparation must consider flavor, texture, temperature, appearance, and palatability; (2) meals must be served under conditions that minimize regimentation; (3) menus must be prepared in advance and posted; and (4) special diets as prescribed by medical personnel must be available. Prior planning in all areas of food service operations should prove cost-effective, facilitate budgeting, and maintain food quality control, as well as inform the residents what will be available at each meal. Food should never be used as a reward or disciplinary measure.

In summary, residential facilities, as one of the most visible aspects of center operations, may be most significant in shaping the attitudes of decision-makers who help to determine the future of community-based correctional activities. Residential facilities must be efficiently operated and properly maintained, within the resources available to the center. Everyone associated with the center and in its political and social environment must understand that facilities are not an end in themselves; they are a means of achieving the successful reintegration of offenders into the community.

CHAPTER X

SUPPORT SERVICES

Support services include many of the less visible elements of administration and management--operational planning, research and evaluation, management information systems, case records, and fiscal management. These and related functions directly affect all community correctional activities by their contributions to decision-making and efficient operations.

Regardless of the size of the community correctional center, its administrator must devote some attention to support activities. The amount of effort will depend on such factors as the organizational structure within which center activities occur, the requirements of the governing authority, the resources available, and so on. For example, a center that is part of a larger correctional entity may not require direct support services if these services are provided by the parent agency. Alternately, a medium-sized community correctional center may perform some of its own support functions, having been delegated specific tasks by the parent agency. A small center with limited resources may find it useful to contract for support services; for example, a local certified public accountant may provide audit, accounting, and bookkeeping services, while college faculty perform research and evaluation tasks. If such services are not needed on a full-time basis, collaborative efforts with justice and non-justice agencies and purchase-of-service agreements may be useful.

Operational Planning

Although the center administrator may choose to delegate some authority for planning to subordinates, he remains ultimately responsible for this function. Planning must include a careful analysis of the center's current status and an articulation of future goals so that any gap between current and future states may be identified and narrowed. Such an analysis should consider social, economic, and political trends at local, state, and federal levels. Planning should attempt to preclude ad hoc and dysfunctional responses to change.

The center should be involved in local, regional, and state criminal justice and other planning efforts so that it can present its point of view and contribute to the development of directions for the future. These collaborative planning efforts should enhance working relationships between agencies, conserve resources, and foster understanding of the center and its objectives. Community correctional centers can be most effective when criminal justice and other community agencies join with them to design and develop programs for offenders.[1]

Linkages with planning efforts in the community may be established through such devices as coordinating councils or interlocking advisory boards. Ties to traditional community organizations involved in educational, social, and charitable pursuits serve to generate community support for the center and further the ends of all participating agencies. The center administrator, however, must guard against proposals made in the name of corrections by social work, recreation, mental health, and other groups which are in fact intended to serve other purposes.[2]

A major product of the planning process should be a written statement of goals and objectives which, by annual review and updating, provide direction to the administrator and staff. Interrelating these goals and objectives with community correctional center planning, budgeting, and program management functions should facilitate the effective use and conservation of resources, evaluation of progress towards goals and objectives, and the delivery of services to residents.[3]

Another important product of the planning process is the creation of a cohesive work group and the commitment of those involved in planning to consensual goals and objectives. Although the participative approach consumes more time, generates additional paperwork, and creates a requirement for trade-offs, the Des Moines project managers, among others, found this approach worthwhile indeed. Similarly, leaders of the Orange County, Florida, community correctional center created a working basis for ongoing collaboration in the process of replicating the Des Moines project.[4]

Operational planning is a means of influencing and perhaps controlling some aspects of the future. Planning is not merely an academic concept; properly undertaken, it is down-to-earth, focusing on such realities as center personnel, facilities, space, programs, equipment, and clientele. Although the service needs of individual clients must be identified and addressed in the development of treatment programs, the planning process should include periodic assessment of the collective needs of the population served by the center and the development of plans to meet them. These plans are then translated into budget requests.

Management Information Systems

The community correctional center needs an organized system of information collection, retrieval, and review that contributes to decision-making, policy formulation, and research and evaluation capabilities. The establishment of goals and objectives, the assessment of center performance, and the operational planning process are facilitated by an information system that provides periodic summary data on such variables as the characteristics, movement, and current status of the client population.

Such data are available to the managers of the Magdala Foundation, who have created a sophiscated management information system tied to their management-by-objectives approach. This information system documents the costs of center operations and provides basic information on all clients, including follow-up data on performance after release.

All community correctional centers, regardless of size, should have some means of collecting, recording, organizing, processing, and reporting information for management purposes. Although the requirements of the information system may change, policies and procedures governing information collection and use should be precise, consistent, up-to-date, and subjected to annual review. As with other support services, the assignment to subordinates of duties pertaining to the management information system does not relieve the administrator of responsibility for that system. Special attention must be given to security of the system, including access, verification of data, and privacy considerations.

A distinction should be made between data that must be available and those that are useful but not essential. Information needs should be identified prior to development or revision of the management information system in order to avoid the collection of extraneous data. Information systems should have the capability to deliver two basic types of information: (1) standard information (data required for management control, such as payrolls and numbers of residents within center facilities and programs); and (2) demand information (information that can be generated at the time a report is required).

Case Records Management

Case records are essential for planning, implementation, and evaluation of the center's overall and individual client-oriented efforts. Orderly recording, management, and maintenance of such data increase the efficiency and effectiveness of all center operations. Sufficient staff and equipment should be made available to meet the needs of case records management. Policies and procedures pertaining to records management should be reviewed annually and updated as necessary. They should address content and format, auditing entries, security, confidentiality and release of information, marking of files, closed records, master files, and destruction of records.

The center should maintain a complete cumulative case record on each individual admitted to the center. Each such record should provide a chronology of significant events from admission to termination, as well as relevant background information. Verified data in the case record serves as a foundation for case analysis and program decisions. Collectively, case records provide input data for planning, implementation, and evaluation.

The contents of case records should be separated and identified according to an established format. Included should be: legal and referral data, intake information, background/social history, individual plan or program, progress, evaluation, and final reports. Consistency in content and format of case records encourages completeness, promotes efficiency and effectiveness, and facilitates use of the records. Systematic auditing should be undertaken to insure that records are current, complete, and accurate and entries should be made by designated staff who sign and date them.

A single master index file that identifies active, inactive, transferred, and destroyed case records should be located centrally for easy accessibility. This file should include identification data such as name, date of birth, case number, and disposition of the case. A community correctional center with more than one facility should consider establishing a separate active case list file at each location.

Safeguards to minimize the possibility of theft, loss, or destruction of case records are essential. Persons authorized access to records should be identified and the conditions of access articulated. Case records should be readily accessible to staff members who use them, but secured when not in use. Records should be marked "confidential" and maintained in locked, waterproof, and fire-resistant files similarly marked.

Since an individual's right to privacy may be abridged if case file data are improperly disseminated, access to case records should be limited to those individuals and agencies with both a need and a right to the information they contain and an ability to demonstrate that access will serve a valid legal purpose. Written policy and procedure governing access to and use of information should conform to applicable federal law by requiring a "Release of Information Consent Form." This form should identify the names of the persons, agencies, or organizations requesting and releasing information, a description of the information to be disclosed, the purpose of or need for the information, the date the form is signed, and signatures of both the client and a witness. A copy of the consent form should be maintained in the case record.

The final report prepared by center staff for inclusion in the case record should summarize the events that occurred during the client's involvement with center programs and facilities. Special comment should be made about any absence of community resources that may have affected a client's failure in the program and an overall staff assessment of the factors that contributed to the successful or unsuccessful outcome. Such final reports should be useful to the center as an organization in identifying and developing resources and to staff by serving as "lessons learned."

Fiscal Management

Center fiscal management should be in accordance with both standard accounting procedures and the requirements and regulations of the governing authority. This will facilitate supervision of the fiscal program, preparation of required reports, development of fiscal policy and procedure, and appropriate allocation of resources. Site visits confirmed that fiscal management generally receives top priority and attention from center administrators.

The administrator of the center is responsible for developing and carrying out fiscal policy. He may charge a subordinate staff member with supervision of fiscal management and control programs, but this employee must report directly to the administrator. Constant attention is required by any program involving such diverse activities as the establishment of fiscal policy and procedure, budget preparation, purchase of supplies and equipment, internal audit, supervision of fund flow, petty cash, inventory control, and compliance with laws and regulations. Policies and procedures governing fiscal management must be reviewed annually, updated as necessary, and approved by the parent governmental agency or governing authority. Special consideration should be given to the purchase of services not provided directly by the center. Part of the overall planning, budgeting, and fiscal management program should include policy and procedures governing the purchase of services, including budget requests and contractual authority for such arrangements.

The budget is the fiscal planning document of the community correctional center. The budget and the process by which it is generated should be in accordance with the policies, procedures, and instructions of the parent governmental agency or governing authority. An annual written budget of anticipated revenues and expenditures with adequate justification to support the budget request and the operations of the center, should be prepared and submitted for approval by the parent governmental agency or governing authority. The budget and its justification should present an analytical and compelling case for meeting center fiscal requirements.

The responsibilities of the center administrator in budget matters may include the full range of activities from budget preparation to presentation at budget hearings, budget revisions, supervision of expenditures of allocated funds, and final audit. Although budget specialists may be involved in any of these activities, overall responsibility for both long-range and daily fiscal operations rests with the administrator.

The budget itself should be developed in a format that permits fiscal planning and budgeting to be related directly to center goals and objectives.[5] Fiscal support should be available to meet center goals and objectives and a system of accountability established to insure that monies are used for those operations for which they were budgeted. Cost-effectiveness should be measured by relating specific operations to resource costs, goals and objectives, and outcomes. In the Des Moines project and in several replications, separate operating budgets were created for each of the program elements. This program budgeting approach is a useful management tool.[6]

The center bookkeeping and accounting system should be based upon accepted accounting principles and procedures. Policies should be developed to govern the collection, safeguarding, and disbursement of monies and the issuance of checks and vouchers. Reports of funds collected and disbursed should be prepared and distributed. These reports may range from periodic time-controlled reports (annual, monthly) to those that provide the administrator with up-to-date fiscal data. Both periodic and continuous reports are required for the effective management of center operations and resources.

Internal and external audits of center fiscal activities by a certified auditing firm or governmental auditing team should insure proper receipt, control, and expenditure of funds. Audits determine whether policies and procedures are being followed and assist the administrator in assessing the performance of staff responsible for fiscal activities. Audits should be both continuous and at the end of prescribed time-frames such as fiscal or calendar years.[7]

Two other subject areas of special import: insurance protection and bonding. Insurance protection of the community correctional center may not be required by law or regulation, but it is important that coverage be available to protect against a wide variety of potentially damaging events. Comprehensive insurance coverage is essential to preserve the center's assets, to protect the center and its agents from personal or collective liability, and to cover losses in physical plant and equipment, personal injury to employees, clients and others, and property damage. Failure to obtain adequate coverage may result not only in fiscal penalites, but also in the considerable costs of claims adjudication.

A special form of insurance that should be considered is the bonding of all employees involved in the collection, safeguarding, and disbursement of funds. Bonding may be accomplished on an individual basis, by a position schedule, or by the governing authority acting as its own insurer. Qualification for individual bonding includes integrity and reliability, characteristics determined during a character investigation by the bonding agency. Regardless of the method of bonding, employees involved in the direct control of funds should be bonded to protect the community correctional center and the funds entrusted to it.

CHAPTER XI

EVALUATION

Interest in the evaluation of criminal justice activities has intensified during the past half-dozen years, at least partly in response to state and local initiatives to limit expenditures for criminal justice and to growing congressional interest in examining and upgrading the effectiveness of LEAA-funded projects. A series of high-quality publications concerning evaluation also attest to the growing concern for some assessment of our criminal justice efforts.[1] Indeed, since several recent volumes on evaluation exist, this chapter is not technical, but rather focuses upon the nature of evaluation, the requirements for criteria and standards and an adequate data base, as well as describing general research strategies and methodologies. It is a chapter directed to the administrator rather than the researcher and is based upon the belief that community correctional centers will benefit from an increased use of social science procedures which test both efficiency and effectiveness.

What Is Evaluation?

Evaluation is defined variously as a process, as a product, or in terms of its purpose.[2] If evaluation is viewed as a process, the focus is on the steps and procedures involved in the design and conduct of an evaluation. If evaluation is viewed as a product, attention is directed toward the findings or judgments that result from completed evaluations. If evaluation is viewed in terms of purpose, the end-use of evaluation for planning, policy-setting, or decision-making becomes the primary concern. Under different circumstances, each of these definitions appropriately may describe the evaluation of the community correctional center and its activities.

A major purpose of evaluation is to provide the center administrator and staff--and often the governing body--with information to enhance policy-setting, decision-making, and planning. Because options and alternatives for administrative, organizational, and programmatic arrangements almost always exist in corrections, evaluation becomes an important management tool. The expenditure of resources, including personnel, time, and dollars, for management information is fully justified, for the center must have a process for making judgments about selected people, objects, and events by comparing them with specified value standards for the purpose of deciding among alternative courses of action.[3]

Given the enormous investments of energies and resources in center activities, questions as fundamental and basic as "do they work" and "how can they be made better" must be asked and answered. The answers--which should come from evaluations--give center administrators an increased capacity to plan, to make decisions, and to set the policies that guide operations.

Evaluation clearly may be used to close the gap between "where" an organization is and "where" it wants to be by identifying a better or the best way to accomplish organizational goals and objectives. Adams described this purpose of evaluation succinctly as:

> ...a procedure for ascertaining whether an event, process or situation (real or conceptualized) is better than another. The procedure may include steps for measuring "how much better" and for explaining the reasons for the difference.[4]

Although the administrator of a community correctional center uses the results and products of evaluation, normally he will not be trained as a researcher or evaluator. Indeed, there is no requirement that the administrator be well versed in specific research methodologies and techniques for evaluation. But there is a need for the administrator to understand generally the evaluation process and to have some common, shared understandings with evaluators and researchers about that process. A number of "models" for evaluation have been developed and for purposes of illustration, not advocacy, we portray an evaluation process model developed by Reynolds after extensive field-testing and a series of workshops in "Management-Oriented Corrections Evaluation" for correctional administrators and evaluators.[5] The model consists of three major phases and eighteen subordinate steps: It is logical, sequential, and orderly.

Phase I Selecting the Evaluation Topic

1. Identify the evaluation priorities
2. Clarify the evaluation subject
3. Clarify the objectives of the subject
4. Specify the objective of the evaluation
5. Ascertain the feasibility of the evaluation

Phase II Developing the Evaluation Plan

1. Select the study design
2. Select the evaluation criteria
3. Select the evaluation standards
4. Develop the analysis plan
5. Develop the sampling plan
6. Develop the data collection plan
7. Develop the reporting plan
8. Develop the management plan

Phase III Conducting and Managing the Evaluation

1. Make staff assignments for the evaluation
2. Develop the evaluation and management procedures
3. Pre-test and revise the evaluation procedures
4. Collect and analyze the data and report the findings
5. Develop strategies for using the evaluation findings

This outline is fully developed by Reynolds (and by others who have generated similar formats) so that the administrator with some limited study should be able to understand the overall process and sequence that researchers-evaluators normally follow. Again, while it is not essential that the administrator be able to perform statistical manipulations of data, we restate the necessity for his comprehension of the process of evaluation generally and the specific process proposed by the researcher-evaluator before the research-evaluation process is initiated.

Although we encourage the "routinization" of evaluation within the community correctional center as an aid to decision-makers and those who set policy, we recognize that the administrator-practitioner and the evaluator-researcher may not see eye-to-eye on many aspects of the assessment function. Saleem Shah of the Center for Studies of Crime and Delinquency of the National Institute of Mental Health points out that differences stem from a variety of sources: "(1) traditional orientations that practitioners and program administrators in the crime and delinquency field are only concerned with fulfilling their mandate to prevent, treat, and control delinquency and crime as effectively as possible, while researchers with an evaluation perspective are only interested in developing and testing highly specialized research methodologies and contributing to a body of knowledge having esoteric theoretical import; (2) traditional perspectives that practitioners and program administrators are disinterested in, threatened by, and resistive to evaluative research and/or theory building in their area of work, while researchers do not and cannot tolerate working in a practice setting where exigencies of service overshadow typical research concerns; and (3) traditional practice of evaluative research (systematic program assessment) by short-term commitment and project."[6]

We acknowledge that administrators and researchers often may be suspicious of one another, but a certain way to insure a better collegiality is to have management and staff participate in research and evaluation--if not technically, at least by identification of questions to be addressed, data to be collected, and the format and style for the presentation of findings. Indeed, the administrator also should seek suggestions for evaluation and research efforts from justice and community agencies and the academic community. But regardless of differences which have existed, it is clear that the community correctional center should expend some resources to assess the efficiency and effectiveness of center operations. Overall assessment should focus upon the center as a totality, examining facilities and programs and measuring progress toward stated goals and objectives. More precise reviews of a particular operation, facility, or program should measure achievement of immediate and specific objectives. Evaluation may serve as the basis for programmed change, assist the community correctional center in setting and reaching goals and objectives for the future, and provide some assessments of current operations.

In sum, and without answering the question "what is evaluation" precisely, we believe that the administrator of the community correctional center--indeed, any administrator--constantly is in a cycle of planning-doing-evaluating. As a cycle, the process is continuous and the separate components merge into one another so as to become almost indistinguishable. Evaluation is essential for intuitive judgments may not hold up under careful scrutiny, nor will they serve effectively to guide planning and operations. As resources become increasingly scarce and expensive, agency survival may depend upon how well the center is able to articulate its goals and objectives and assess its progress in closing the gap between existing and desired states. Evaluation must be on-going--whether programs, facilities, and operations are evaluated individually or collectively--and should be "built-in" rather than "tacked-on."

Criteria and Standards

Evaluations generally allow comparisons to be made by the administrator and/or researcher. Comparisons may be made in a variety of ways. For example, it is possible to contrast real conditions with some perceived ideals or against some published or official standards. "Before" versus "after" often is a basis for evaluations, with data reported both quantitatively and qualitatively. Performances of individuals involved in programs sometimes are compared with those of others not involved in programs, the latter being chosen either randomly or on a "matched" basis. Actual outcomes may be contrasted with expected outcomes by analysis of pre-program and in-program experiences in relation to post-program performances. Agency reactions such as parole revocation or arrest also may serve to evaluate performance. Finally, an entire series of comparisons along a cost-benefit continuum is possible. The selection of a particular methodology or general approach to evaluation in part may be dependent upon whether the evaluator is administrative- or research-oriented. In general, the "researcher" may opt for a more complex methodology and greater certainty of results than the "administrator" who frequently is forced to trade certainty for time or other resources.

If there are to be comparisons, there can be no task more critical than selection of the evaluative criteria and standards. Criteria, generally known to researchers as "variables," are the characteristics, properties, or concepts used to make judgments about an evaluation subject. Over the years, many different criteria have been used in correctional evaluation ranging from personal or social adjustment to criminal career costs. Adams identified seven "performance criteria" that are used extensively for corrections throughout the United States: arrests, type of offense, time until arrest, conviction, time in lock-up, costs of correctional treatment and benefits (cost reductions and earnings augmented). These seven (or other criteria) singly and in combination may or may not be useful in evaluating a particular community correctional center. It is essential, however, that the administrator, evaluator, and others who must use the results of evaluation join together to identify and select the evaluation criteria. Criteria for evaluation always should be selected for their relevance to decisions that must be made. Thus, if the purpose of an evaluation is to make a choice from among several options, the criteria selected should shed light on the judgments that must be made about each option to arrive at that final decision. Selection of criteria should be neither arbitrary nor based upon tradition; rather, selection ought to be based upon the needs of decision and policy-makers.

While criteria are the characteristics used to make judgments about a subject, standards are the levels or ranges of performance with which actual or proposed performance is compared. There should be one or more standards for each criterion. Adams[7] and Reynolds[8] have identified several different types of standards from which to choose:

• Need	Compare what is proposed with what is needed; or compare what is accomplished with what was needed.
• Demand	The demands or expectations of some target populations are used as the standard.
• Plan	The objectives are used for comparison--Did the program meet its objectives?
• Past performance	A subject is compared with itself over time.
• Similar subjects	One subject (e.g., program) is compared with another that has similar characteristics.
• Control groups	The performance of the group that receives treatment is compared with a randomly selected group that does not.
• Requirements	A subject is compared with established regulations, laws, policies, guidelines, rules.
• Professional	Experts or professionals set "desirable" levels of performance.

The selection of criteria and standards requires exactness in definition. Both must be well-articulated, precise, and unequivocal. Even if there is disagreement about the definition selected, there must be no confusion about the definition itself. There is no single authority in the United States with the power to mandate precision in correctional definitions. As a result, correctional agencies often use identical words with dissimilar meanings. The term "recidivism," for example, commonly used in correctional evaluations as an outcome measure, is defined in quite different ways in different studies, leading to confusion about the meaning of evaluation results and difficulties in their comparison. Again, it is essential that criteria and standards be specified with complete clarity.

Types of Standards and Guidelines

Standards and guidelines adopted by community correctional centers will vary, but three general types can be distinguished. First are those standards prepared by organizations such as the Commission on Accreditation for Corrections[9] or the guidelines reviewed by the International Halfway House Association. Two such standards developed by the Commission on Accreditation for Corrections for adult community residential services, illustrate this type:

> "2027 The agency prepares an annual written budget of anticipated revenues and expenditures which is approved by the appropriate governing authority. (Essential)
>
> > DISCUSSION: Prior to the beginning of the fiscal year of the agency, a budget of anticipated revenues and expenditures must be presented and approved by the governing body. This budget document will be the basis for fiscal operations in the upcoming fiscal year.
>
> 2028 The administrative officer of the agency participates in budget reviews conducted by the governing board or parent governmental agency. (Important)
>
> > DISCUSSION: Because of the significance of budget reviews, the administrative officer should participate in the process. In private agencies he/she would work directly with the governing authority. In public agencies he/she would work with the designated supervisory level within the parent agency."[10]

Each of these standards is explicit, measurable, and devoted to a single subject area. A rationale for each standard is provided, and a "weight" is attached to the standard by virtue of the "essential" or "important" categorization.

A second type of standard is that which may be generated from manuscripts and reports. Harry Allen derived a variety of explicit "compliance guidelines" following review of a draft of this text. Compliance guidelines are geared for use by an administrator or outside evaluator as a checklist and are arranged in single, measurable subject areas. Allen recommends a six-point rating scale for each item:

0 = guideline does not apply to center

1 = does not meet guideline

2 = progress on guideline compliance has begun

3 = making strong headway in guideline compliance

4 = meets stated guideline

5 = substantially exceeds minimal guideline

An example of Allen's compliance guidelines derived from a chapter of this report follows:

Personnel Policy Subject Areas

A. The Center should have written personnel policies which govern employment practices and procedures to include, but not be limited to:

(1)	recruitment and hiring policies	0 1 2 3 4 5
(2)	promotion	0 1 2 3 4 5
(3)	job qualifications and descriptions	0 1 2 3 4 5
(4)	affirmative action and equal opportunity provisions	0 1 2 3 4 5
(5)	employee-management relations	0 1 2 3 4 5
(6)	inservice training and staff development	0 1 2 3 4 5
(7)	grievance and appeal procedures	0 1 2 3 4 5
(8)	employee evaluation	0 1 2 3 4 5
(9)	personnel records and disclosure thereof	0 1 2 3 4 5
(10)	salaries, wages, fringe and other benefits	0 1 2 3 4 5
(11)	vacation, leave and sick leave time, hours of work	0 1 2 3 4 5
(12)	disciplinary procedures	0 1 2 3 4 5
(13)	retirement, resignation, and termination	0 1 2 3 4 5
B.	The above should be approved by the governing authority or governing governmental agency responsible for the Center.	0 1 2 3 4 5

A third type of standards or guidelines is represented by the performance-oriented model used by the Magdala Foundation and described in Chapter IV. Four examples of Magdala performance objectives for 1977 (definitions found in Chapter IV) are:

• Minimum number of individuals to be served during 1977.	400
• Percent of all individuals accepted into programs successfully completing the program.	90%
• Maximum amount of hourly wage of all full-time job constructive day releases.	$2.70
• Number of days for residential clients from entrance into program to first constructive day.	up to 48

The Magdala performance objectives are precise, tailored to meet local requirements, measurable in terms of outcome and at the end of a specific time-frame, and may be reported in specific numbers or percentages (e.g., dollars, days, etc.).

Research Methodologies and Strategies

Any actual or contemplated center operations, activities, facilities and programs that consume resources may be subject to some degree of assessment, but priorities for evaluation must be set. The hierarchy or sequence in which programs or other operations will be evaluated should be made explicit and may be based upon a variety of considerations, including resources used, political interests, costs associated with the evaluation, kinds of outcome measures that may be generated to facilitate decision-making and policy-setting, and so on.

Following prioritization, center management and evaluation staff should consider the variety of research methodologies and strategies that may be employed to address the evaluation needs of the center. Strategies available have been catalogued in a variety of ways. Adams, for example, identifies and describes six basic approaches:[11]

- Non-experimental evaluations
- Quasi-experimental studies
- Controlled experiments
- Cost-analysis and cost-benefit analysis
- Operations research and systems analysis
- Simulation

Non-experimental evaluations include a wide variety of research methods. The types most commonly used in corrections and criminal justice are the case study, the survey, the time series, the cohort analysis, and the before-after study. Such studies can be either descriptive or evaluative. If they focus on presentation of a picture of what exists, they are descriptive. If they also make comparisons and indicate preferences that are related to policy formulation, they are in part evaluative.

There are several varieties of quasi-experimental studies. The best known makes use of participant and comparison groups to measure the effects of an experience. The comparison group is chosen in a way that makes it similar to the treatment group; the choice is not random selection. In addition to the similarity of the two groups, the quasi-experiment requires that both have had essentially comparable experiences except that the treatment group underwent the special program that is being evaluated while the comparison group did not. Any differences in performance that are later detected by the measurement process are then interpreted as a possible consequence of the treatment experience.

The controlled experiment assesses a treatment experience by measuring differences in response by "treatment" and "control" groups who come randomly out of a pool of treatment-eligible individuals. The controlled experiment is perhaps more a researcher's instrument than an administrator's aid to management. The experiment may be the preferred evaluation model where there are relatively stable structures and procedures and where highly complex designs leading to causal inferences are desired.

Cost analyses trace criminal justice actions or services involved in dealing with specific offender management tasks or processes. Each action or service is "costed" by applying business office or auditing figures to each unit of action and service and totaling the costs. This may be done for a particular program experience, by one or more offenders, or for a series of experiences in several agencies over a period of years. This technique is most easily applied in conjunction with experimental or quasi-experimental research designs and with costs and benefits calculated only in the period of follow-up. It becomes more difficult to apply when projections of costs and benefits are made and when the comparative costs and benefits have to be determined by estimation.

Operations research and systems analysis are often regarded as synonymous, but there are distinctions between them. Operations research focuses on the description and analysis of an ongoing system. Its purpose is to "optimize" or make the best use of processes, people, materials, and resources already in existence and at hand. Systems analysis is concerned with alternative means of achieving objectives. It uses real and hypothesized assessments of performance, costs, and risks to aid the administrator in deciding how a system should be structured and operated. These two strategies provide global views of a system.

Simulation is a process of creating representations of, and acting out, the functioning of systems or their subsystems. Its purpose is to anticipate, evaluate, and improve control over the real systems that are being simulated. Simulation may be a commonsense population "model" by connecting several points on a graph, then "operates" the model by extending the line for two or three years into the future to show where the population is likely to go. It may be a logical process, in which agency staff members with a body of facts and a number of assumptions about the department and about various environmental factors (laws, crime rates, budgets, etc.) arrive at conclusions as to what will occur under specific combinations of events. It may be a computerized process when data on the department, mathematical representations of departmental processes, and hypothetical statements of future conditions are "run" through a computer to learn what outcomes will result under alternative conditions.

Different methodologies and different subjects of evaluation are associated with different costs in terms of time, dollars, accuracy, effect on operations, or other factors. The administrator must insure that the strategy selected for evaluation is appropriate from a broad cost perspective. Such a determination might well result in readjustment of the prioritized list of evaluation subject areas.

Data Collection

Data are collected by agencies for a variety of reasons other than evaluation requirements; certainly there are administrative, management, and legal needs for data. Regardless of the purpose for which data will be used, the administrator and staff and "interested others" should jointly develop descriptions of the center's data requirements. Determination of data needed by the center should not be left to chance. Given the costs associated with information collection, processing, and maintenance, useful but non-essential data should be excluded from the data plan.

Since data systems are the backbone of research and evaluation, the community correctional center should collaborate with criminal justice and non-justice agencies in data system development and information collection, exchange, and standardization. Such collaboration is particularly important in light of the growing need to share data, develop common terminology, and address jointly the complex issues surrounding information and its use in the justice system.[12]

The need for security and safeguarding data was noted in earlier chapters. Here it should be added that the collection, maintenance, processing, storage, analysis, destruction, release--indeed, anything to do with data--must comply with state and federal regulations. There exists no other area of greater legal and political sensitivity than data collection and use.

Summary

The determination of evaluation needs and priorities, the staffing and funding of the evaluation effort, and the use of findings from evaluation are the responsibilities of the center administrator. Although the administrator often will not have--and indeed cannot be expected to have--the technical expertise to activate and manage research methodologies and designs, he must be familiar with evaluation strategies and the evaluation process. He must insist on the development of precise and explicit standards and criteria and outcome measures.

A variety of opportunities are available to the administrator and center staff to acquire at least a general understanding of research and evaluation issues, problems, and solutions. Study of the texts referenced in this chapter, attendance at evaluation training programs conducted by Criminal Justice Training Centers established at five universities[13] and obtaining technical assistance in evaluation from these Centers or State Planning Agencies are appropriate.

Evaluation is not an end in itself. Indeed, as a pragmatic matter, if evaluation cannot be expected to aid the administrator and his staff in making difficult decisions and determining essential policy either now or in the future, it probably is not worth doing.

Evaluation is necessary for decision-making, policy-setting, and determining whether the center is meeting its goals and objectives. If center operations are viewed as a cycle of planning-doing-evaluating, then evaluation is an integral part of that critical cycle.

AFTERWORD

As noted in the Preface to this Program Model text, the term "community correctional center" is applied to a wide variety of community-based correctional activities which often have little more in common than a shared label. The three models portrayed in this volume have much in common, as well as much that is dissimilar. One, therefore, might conclude that a great diversity of types of community correctional centers is encouraged, but that would be true only to the extent that the diversity is a response to specific needs within a community, the criminal justice system, and the client group. Des Moines and its replications, the Montgomery County Center, and the private centers described in these pages illustrate a wide range of options available now which may serve as building blocks for subsequent development; these centers do not represent limits, but rather solid foundations upon which a community and its criminal justice system may wish to build.

Inasmuch as there cannot be a "best" model for a community correctional center, correctional administrators and those charged with criminal justice decision-making must make informed choices and select the best options when planning, implementing, and improving such centers. In the absence of a "best" model, these administrators and decision-makers should opt for localization, tailoring, and adaptation of the basic models to meet local needs, structures, and processes. This localization-tailoring-adaptation process is one which may be facilitated by reference to the ten components and dimensions of community correctional centers described in the Introduction to Part 1 and illustrated throughout this text. Each of these components may require decision-makers to choose a correctional option from among those available.

The selection of an option--the making of a decision--does involve some risk-taking by the decision-makers. All new ventures involve some degree of risk, but controls may be exercised and risks minimized by adoption of a carefully articulated and implemented planning sequence. Decision-makers must be imaginative, creative, and daring, and they must consider the total community and organizational environments in which the community correctional center functions as they deliberate and select options. And these decision-makers must be ever-mindful of the era of reduced resources which seemingly lies just ahead; disappearing resources mandate focus upon efficiency and effectiveness considerations.

Those charged with the administration and management of community correctional centers will find technical assistance available from a number of sources including, but not limited to, the American Correctional Association and other correctional and corrections-oriented professional organizations, the National Institute of Corrections, the State Planning Agencies and Regional Planning Units in each state, the University and College systems in general and the Technical Assistance Resource Centers in particular at Florida State University, Northeastern University, the University of of Wisconsin at Milwaukee, the University of Southern California, and Washburn University in Topeka. Expertise in diverse subject areas is available from these and other sources either without or at reasonable cost. The administrator should use technical assistance to target upon specific problems being encountered or projected. Requests for such assistance should be specific in terms of the types of assistance required to address these problems. Technical assistance is particularly valuable when it is focused on specific concerns, has a problem-solving emphasis, and is seen as enhancing decision-making.

The authors may have communicated to the reader some of the enthusiasm which exists "in the field" by those connected with well-administered community correctional centers. Enthusiasm is contagious, particularly when it is coupled with a general sense of urgency that "something" needs to be done to corrections to give it an appropriate locus in the community, protect the citizenry, insure that relevant services are matched against client needs, and to be efficient and effective in an increasingly resource-austere environment. But those charged with correctional decisions must avoid a latent or manifest position that we "should do something, even if it is wrong": such a position is untenable. Perhaps something should be done, but only after a determination that the "something" is the best alternative available to optimize public safety, service delivery, and cost-effectiveness. A full planning cycle--from needs assessment through impact assessment--should prove most useful.

Ultimately, of course, the success or failure of community correctional centers will be determined by one or more evaluations. Correctional evaluations often have been made without adequate data or analysis of the data. A caution, then: built-in biases for or against community correctional centers in general or a center in particular must be avoided if a valid assessment is to emerge. The text, Neighborhood Justice Centers (1977), suggests that three kinds of data are required for evaluation: data on center development, center processes, and center impact.

Data on center development are particularly appropriate for the environments and force fields in which centers operate are indeed complex. Systematic data collection may serve not only to help potential replicators develop successful strategies and avoid pitfalls, but also provide insights into the most appropriate methodologies for mobilizing community and public and private agency resources. Such data on center development serve a technology-transfer function--getting the word out, so to speak, about this relatively new innovation in corrections. Data on center processes are required so that the administrator may monitor center achievements and problems. These data may serve as the foundation for empirical research and evaluation on topical areas as diverse as contracting for services through benefit-cost analysis. And data on center impact is essential if goals and objectives are to be assessed in terms of the community, the criminal justice system, and the client. Such center impact assessments could target upon the standards and goals of the 1973 National Advisory Commission or similar publications.

But data collection is not precisely at the beginning of the evaluation process. Indeed, data ought be collected only after basic research and evaluation questions have been framed and it is determined that particular data can address specific research-assessment-evaluation issues. Issues may be defined narrowly or be of a theoretical nature, but eventually centers must be measured in terms of the larger questions of who ought to do what to whom, where, and when, if corrections is to achieve the goals of community protection and delivery of such services to its client group as are relevant to law-abiding behavior.

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FOOTNOTES:

NOTE:

The footnotes to this report have been carefully prepared to help the reader locate reference materials. Each footnote contains the location, publisher and publishing date of the source document. In addition, stock numbers are presented for the references published by the U.S. Government Printing Office.

It should also be helpful to point out that the National Criminal Justice Reference Service (NCJRS) is a source for all National Institute of Justice and/or National Institute of Law Enforcement and Criminal Justice publications. Single copies of many of the publications cited in this report are available from NCJRS without charge. They also offer a document loan service for less available publications.

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402

National Criminal Justice Reference Service
P.O. Box 6000
Rockville, Maryland 20850

FOOTNOTES

Introduction to Part I

1. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Contracting for Correctional Services in the Community, Vol I Summary Report by G. Kassebaum, P. Nelligan, B. Wayson, M. Sakuri, J. Seldin, D.T. Takeuchi and G. Monkman (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00630-2, 1978).

2. National Institute of Justice, U.S. Department of Justice, Unification of Community Corrections: Program Models, by E. K. Nelson, Jr., Robert C. Cushman, and Nora Harlow (Washington, D.C.: U.S. Government Printing Office, forthcoming, 1980).

3. The Exemplary Projects Program is a systematic method of identifying outstanding criminal justice programs throughout the country, verifying their achievements, and publicizing them widely. The goal: to encourage widespread use of advanced criminal justice practices.

   Rigorous screening procedures have been established to glean only the very best programs--those which warrant adoption on a broad scale. Particular emphasis is placed on the extent and sophistication of the project's documentation and evaluation efforts.

FOOTNOTES

Chapter I

1. National Advisory Commission on Criminal Justice Standards and Goals, Corrections (Washington, D.C.: U.S. Government Printing Office, Stock Number 0-494-672, 1973) p. 233.

FOOTNOTES

Chapter II

1. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Community-Based Corrections in Des Moines--An Exemplary Project, by David Boorkman, Ernest J. Fazio, Jr., Noel Day, and David Weinstein (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00398-2, 1976); National Institute of Justice, U.S. Department of Justice, Community Corrections in Des Moines--A Coordinated Approach to the Handling of Adult Offenders--Handbook--An Exemplary Project, by the Iowa Fifth Judicial District, Department of Court Services, Des Moines (Washington, D.C.: U. S. Government Printing Office, Stock Number 2700-00219, undated); National Council on Crime and Delinquency, Community-Based Alternatives to Traditional Corrections: The 1973 Evaluation of the Fifth Judicial District Department of Court Services, by Roger O. Steggerda and Peter S. Venezia, Davis (Calif.: NCCD Research Center, February 1974); Iowa Bureau of Correctional Evaluation, "The Residential Corrections Facility at Fort Des Moines: A Cost-Effectiveness Analysis," by Richard R. Lancaster (Des Moines, Iowa: May 1978); Vogelgesang, Bernie, "Philosophy of the Polk County Department of Court Services," (Des Moines, Iowa: June 1972).

2. Boorkman, et al, Supra Note 1, p.iv.

3. The program descriptions that follow are taken from: Boorkman, et al, Community-Based Corrections in Des Moines, Supra Note 1.

4. The National Institute of Law Enforcement and Criminal Justice contracted with Urban and Rural Systems Associates (URSA), a San Francisco consulting firm, to provide technical assistance to the replication sites, with Florida State University to evaluate the replication process in five of the six target communities. A draft of the Florida State evaluation report was made available to the authors for study.

   A draft summary of the evaluation report was also made available to the authors. (The draft Summary Report was finally published in 1979.) These two draft references are cited throughout this publication as:

   Steven T. Seitz, William M. Rhodes, and Thomas Blomberg, An Evaluation of the LEAA Replication of the Des Moines Community-Based Corrections Program, unpublished draft report prepared under grant 77-NI-99-0020, National Institute of Law Enforcement and Criminal Justice, Law Enforcement Assistance Administration, U.S. Department of Justice, Washington, D.C., 1978.

Rice, Robert, Evaluation of the Des Moines Community-Based Corrections Replication Program; Summary Report, 1978 draft. Note: The final copy was printed in October 1979 and is available through the National Criminal Justice Reference Service, Box 6000, Rockville, Maryland 20850. See National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Evaluation of the Des Moines Community-Based Corrections Replication Program: Summary Report, by Robert Rice, (Washington, D.C.: U. S. Government Printing Office, Stock Number 027-000-00-961 October 1979).

5. The Des Moines program, or at least a planned local variation of it, developed best in these three sites--Orange County, St. Louis County, and Clark County. Visits to San Mateo and Salt Lake Counties and correspondence concerning Baton Rouge Parish, Louisiana, confirmed that important features of the program model had either failed to develop there, or had been discontinued after a trial period.

6. NCCD, Community-Based Alternatives to Traditional Corrections, Supra Note 1, p. 23.

7. See Chapter 154 Iowa Code--67th General Assembly, 1977 Session--Senate File 212. In addition to this legislation, the State of Iowa has an accrediatation process. State standards outline the responsibilities and duties of persons providing services in the judicial districts. Once a judicial district department is in compliance with all provisions of these standards (see State of Iowa, Department of Social Services, Bureau of Community Corrections Services, "Responsibilities" 4/77), the program is certified by the State and administrative authority is transferred from the Bureau to the Judicial District Board of Directors by executive order.

8. Vogelgesang, Supra Note 1. p. 28.

9. NCCD, Supra Note 1.

10. Vogelgesang, Supra Note 1, p. 32.

11. Chapter 154 Iowa Code, 67th General Assembly, 1977 Session (also known as Senate File 212).

12. National Institute of Justice, U.S. Department of Justice, Promising Strategies in Probation and Parole, by E. K. Nelson, Jr., Howard Ohmart, and Nora Harlow (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00706-6, 1978).

13. NCCD, Supra Note 1, p. 54.

14. Program costs were calculated on both a cost-per-day and cost-per-term basis for programs operated by the Department of Court Services, the Polk County jail, and the Bureau of Adult Correction Services. Costs for central administration were allocated proportionately across the programs operated by both the Department of Court Services and the Bureau of Adult Correction Services.

15. Boorkman, Supra Note 1, p. 12.

16. Id., p. 13.

17. Ibid.

18. Ibid.

19. Iowa Bureau of Correctional Evaluation, op. cit. Supra Note 1, p. 1.

20. Seitz, et al Supra, Note 4. The Director of the Office of Court Alternatives reports that, as of December 1978, approximately 35,000 cases are being processed annually.

21. Rice, Supra Note 4.

22. Interview with Major Shoultz, Sheriff's Department.

23. Joseph L. Powell, "Court Alternative Programs," (Orange County, Florida, Office of Court Alternatives, undated) p. 4.

24. Id., p. 3.

25. Id., p. 6.

26. Id., p. 2.

27. Ibid.

28. Id., p. 4.

29. Joseph L. Powell, Orange County Office of Court Alternatives, (Orange County, Fla.: Office of Court Alternatives, September 1977).

30. Seitz et al, Supra Note 4, p. 7.

31. Id., p. 8.

32. As provided for under Minnesota Statutes 641.26 through 641.266, the Regional Jail Act.

33. Northeast Regional Corrections Center: Program Description, (Saginaw, Minn.: February 1977) p.5.

34. Seitz et al, Supra Note 4, p. 12.

35. Rice, Supra Note 4, Chapter 3, p. 9.

36. Id., p. 16.

37. Supra Note 33, p. 4.

38. Minnesota Statutes 401.1 - 401.16, The Community Corrections Act of 1974.

39. Rice, Supra Note 4, p. 7. Originally, St. Louis County received $250,000 to replicate the Des Moines program in the south county area. The local Regional Criminal Justice planning unit provided another $123,000 to extend the replication throughout the four county 6th judicial district.

40. Boorkman, Supra Note 1, pp. 73-74.

41. Program descriptions are drawn from: Health and Welfare Planning Council, Community-Based Corrections Evaluation, 1977, (Vancouver, Wash.: 1977).

42. Ibid.

43. Rice, Supra Note 4, Chapter I, p. 23.

44. This evolution and alternative outcomes are described in a forthcoming National Institute of Justice Program Models document on the consolidation of local corrections. See National Institute of Justice, U.S. Department of Justice, Unification of Community Corrections: Program Models by E.K. Nelson, Jr., Howard Ohmart and Nora Harlow (Washington, D.C.: U.S. Government Printing Office, forthcoming 1980).

45. Iowa Bureau of Correctional Evaluation, Supra Note 1, p. 5.

46. Rice, Supra Note 4, p. 12.

47. Id., p. 23.

FOOTNOTES

Chapter III

1. National Institute of Law Enforcement and Criminal Justice, U. S. Department of Justice, Halfway Houses, by Harry E. Allen, Eric W. Carlson, Evelyn C. Parks, and Richard P. Seiter, (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00702-3, 1978).

2. Law Enforcement Assistance Administration, U.S. Department of Justice, Work Release: A Directory of Programs and Personnel (Washington, D.C.: U.S. Government Printing Office, Stock Number 2700-00205, 1972).

3. LEAA, op. cit. Supra Note 1, p. 3.

4. Id., p. 1.

5. Abt Associates, Exemplary Project Screening and Validation Report: Montgomery Work Release/Pre-Release Program,(Cambridge, Mass.: July 1977; National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Montgomery County Work Release/Pre-Release Program--An Exemplary Project, by Robert Rosenblum and Debra Whitcomb, (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00673-6, 1978) and Kent Mason, "Summary: Montgomery County Pre-Release Center" (Rockville, MD: Montgomery County Pre-Release Center, mimeo July 1978).

6. Programs may be proposed for consideration of exemplary status by the operating agency, local government or criminal justice planning units, State Planning Agency, or LEAA office. Those presenting the most objective evidence of success in terms of each of the selection criteria are examined to verify their (1) overall effectiveness in reducing crime or improving criminal justice; (2) adaptability to other jurisdictions; (3) evidence of achievement; and (4) cost-effectiveness.

   For a summary of the 32 Exemplary Projects see National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Exemplary Projects: A Program of the National Institute of Law Enforcement and Criminal Justice, available from the National Criminal Justice Reference Services, Box 6000, Rockville, Maryland, 20850 (undated).

7. National Institute of Law Enforcement and Criminal Justice, op. cit. Supra Note 5, Chapter III and Appendices.

8. Abt Associates, op. cit. Supra Note 5, p. 1.

9. National Institute of Law Enforcement and Criminal Justice, *op. cit. Supra* Note 5, Appendix K.

10. *Id*., p. 12.

11. *Id*., p. 17.

12. *Id*., p. 18.

13. *Id*., p. 21.

14. *Id*., P. 104.

15. *Id*., p. 44.

16. *Id*., p. 25.

17. *Id*., p. 26.

18. *Id*., p. 25.

19. *Id*., p. 73.

20. *Id*., p. 74.

21. *Ibid*.

22. *Id*., p. 80.

23. *Id*., p. 6.

24. *Id*., p. 65.

25. Abt Associates reports: "According to the Project Director these costs compare favorably to state correctional facilities. Although the Maryland House of Corrections incurs approximately a $5,000 per bed per year cost, it is seriously overcrowded, housing 1900 to 2000 inmates in a facility constructed to house 1200. The Women's Correction Facility operates at a cost of approximately $10,000 per bed per year. Neither of these institutions provides the services available at the PRC." Abt Associates, *op. cit. Supra* Note 5, p. 34.

26. Letter from Kent Mason to Robert Rosenblum, July 27, 1977.

27. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, *The Transition From Prison to Employment: An Assessment of Community-Based Assistance Programs, National Evaluation Program, Phase I Report*, Series A, Number 19 by M. A. Torborg, R. H. Milkman, L. J. Center, and D. W. Davis, (Washington, D.C.: U.S. Government Printing Office, Stock Number 127-000-00697-3, July 1978); National

Institute of Law Enforcement and Criminal Justice, U. S. Department of Justice, Halfway Houses National Evaluation Program, Phase I Summary Report by E.W. Carlson, H. H. Bowman, J. J. Grandfield, N. J. Beran, and H. E. Allen (Washington, D. C.: U. S. Government Printing Office, Stock Number 027-000-00468-7, 1977).

28. Abt Associates, op.cit. Supra Note 5, p. 38.

29. Ibid.

30. Kent Mason, "Summary: Montgomery County Pre-Release Center," (Rockville, MD: Montgomery County Work Release/Pre-Release Center, Mimeo, December 1, 1978).

FOOTNOTES

Chapter IV

1. American Correctional Association. Manual of Standards for Adult Community Residential Services (College Park, MD.: American Correctional Association, 1977.)

2. James Corfman, "The Mahoning County Residential Treatment Center: An Overview", (Youngstown, Ohio: Mahoning County Residential Treatment Center, December 1977.)

3. By-laws of the Mahoning County Residential Treatment Center, adopted November 27, 1974.

4. Richard J. Billak, Annual Report, 1977: Mahoning County Residential Treatment Program, (Mahoning County Residential Treatment Program, Youngstown, Ohio, January, 1978) p. 7.

5. Ibid.

6. John McCartt, Talbert House: Ten Years of Community Services, (Cincinnati, Ohio: Talbert House, 1975.)

7. Members of the organization pay dues; the arrangement is similar to that described for the Mahoning County Center.

8. John McCartt, "Talbert House Program Description," (Cincinnati, Ohio: Mimeo, 1978.)

9. Ibid.

10. Tom Mangogna, "A Brief History of Magdala Foundation," (Magdala Foundation, St. Louis, Mo.: 1978.)

11. Ibid.

12. Ibid.

13. Tom Mangogna, Magdala Foundation Annual Report: 1977, (St. Louis, MD: Magdala Foundation, January 1978.)

14. Id., p. 8.

15. Cited in Mangogna, Ibid. (1978) as an excerpt from the Federal Inspector's report.

FOOTNOTES

Introduction to Part 2

1. See: Commission on Accreditation for Corrections, Manual of STANDARDS for Adult Community Residential Services and Manual of STANDARDS for Adult Probation and Parole Field Services, both 1977, available from the Commission at 6110 Executive Boulevard, Suite 750, Rockville, Maryland, 20852.

2. Law Enforcement Assistance Administration, Technical Assistance Division, U.S. Department of Justice, Guidelines and Standards for Halfway Houses and Community Treatment Centers, by John M. McCartt and Thomas J. Mangogna (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00187-4, 1973).

3. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Halfway Houses: Program Models, by Harry E. Allen, Eric W. Carlson, Evalyn C. Parks and Richard P. Seiter, (U.S. Government Printing Office, Washington, D.C. 20402, Stock Number 2700-00205, 1972).

4. For details on the accreditation process, contact the Commission on Accreditation for Corrections at 6110 Executive Boulevard, Suite 750, Rockville, Maryland, 20852.

FOOTNOTES

Chapter V

1. See: Ewing, Blair, "Criminal Justice Planning: An Assessment," *Criminal Justice Review*, 2 (Spring, 1976): 123; and National Association of Counties Research Foundation, *Regional Criminal Justice Planning: A Manual for Local Officials,* Part I, (Washington, D.C.: National Association of Counties Research Foundation, June 1971); National Institute of Justice, U.S. Department of Justice, Criminal Justice Planning for Local Governments, by Robert C. Cushman and John M. Wynne, Jr., (U.S. Government Printing Office, Washington, D.C. 20402, forthcoming, 1980); Gordon Raley, *The Coordinating Council* (Washington, D.C.: U.S. National League of Cities, 1976).

2. Two useful descriptions of a step-by-step planning process are found in: Norman F. Chamberlain, "The Master Management Model," in *The Regional Institute on Community Residential Treatment Centers: Final Report, Training Manual and Discussion Papers*, by Center for Urban Programs, St. Louis University and the International Halfway House Association (St. Louis, Mo.: July 1976); and University of Southern California, "Criminal Justice Planning Institute Instructors Guide," University of Southern California, School of Public Administration, Los Angeles, Calif.; unpublished mimeograph, 1973.

3. Steven T. Seitz, William M. Rhodes, and Thomas Blomberg, *An Evaluation of the LEAA Replication of the Des Moines Community-Based Corrections Program*, unpublished draft report prepared under grant 77-NI-99-0020, National Institute of Law Enforcement and Criminal Justice, Law Enforcement Assistance Administration, U.S. Department of Justice, Washington, D.C., 1978.

   Rice, Robert, *Evaluation of the Des Moines Community-Based Corrections Replication Program: Summary Report*, 1978 draft report prepared for the National Institute of Justice; produced in final form as: National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, *Evaluation of the Des Moines Community-Based Corrections Replication Program: Summary Report*, by Robert Rice (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-007-961, October 1979).

4. John Galvin, *Criminal Justice Central Intake Program: Concepts and Guidelines*, (Sacramento, Calif.: American Justice Institute, unpublished mimeograph, 1978.)

5. Search Group, Inc,, JAMS: Jail Accounting Microcomputer System Technical Report No. 20 (Sacramento, Calif.: February 1978).

6. Thomas Church, Jr. et al, "Justice Delayed--The Pace of Litigation in Urban Trial Courts: State Court Journal Vol. 2, No. 4 (Fall, 1978) pp. 3-8.

7. Ibid.

8. McCartt and Mangogna describe an eight-step process for planning a community correctional center. See: Law Enforcement Assistance Administration, Technical Assistance Division, U.S. Department of Justice, Guidelines and Standards for Halfway Houses and Community Treatment Centers, by John M. McCartt, and Thomas J. Mangogna, Washington, D.C.: (U.S. Government Printing Office, Stock Number 027-000-00187-4, 1973).

9. Id., p. 35.

10. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Community-Based Corrections in Des Moines--An Exemplary Project, by David Boorkman, Ernest J. Fazio, Jr. Noel Day, and David Weinstein (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00398-2, 1976).

11. Id., p. 80.

12. The Des Moines project also followed this pattern, while the Des Moines replications were largely rushed into existence. See: Seitz, Supra Note 3.

13. Chamberlain, Supra Note 2, p. 4. See Also: U.S. Chamber of Commerce, "Marshalling Citizen Power Against Crime" (Washington, D.C.: U.S. Chamber of Commerce, 1970) and, U.S. Chamber of Commerce "Marshalling Citizen Power to Modernize Corrections" (Washington, D.C.: U.S. Chamber of Commerce, 1972).

14. National Institute of Law Enforcement and Criminal Justice, Supra, Note 10, p. 81; and National Institute of Law Enforcement and Criminal Justice, U. S. Department of Justice, Halfway Houses: Program Models, by Harry E. Allen, Eric W. Carlson, Evalyn C. Parks, and Richard P. Seiter, (U.S. Government Printing Office, Washington, D.C. 20402, Stock Number 027-000-00702-3, 1978).

15. See, for example, State of Maryland, Annotated Code, Article 27, Paragraph 706, "Community Adult Rehabilitation Centers," 1976.

16. McCartt, Supra Note 8, p. 39.

17. National Institute of Law Enforcement and Criminal Justice, *Supra* Note 14, p, 6; and National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, *Evaluative Research in Corrections: Prescriptive Package*, by Stuart Adams, (U.S. Government Printing Office, Washington, D.C. 20402, Stock Number 2700-00270, 1974.

18. This was especially evident in the Des Moines replication examples where implementation often was rushed in order to meet funding deadlines. See: McCartt, *Supra* Note 8, p. 35; Seitz *et al*, *Supra* Note 3.

19. *Ibid*.

20. McCartt, *Supra* Note 8, p. 35; and Boorkman *et al*, *Supra* Note 10.

21. McCartt, *id*. pp. 21-26; 38; National Institute of Law Enforcement and Criminal Justice, *Supra* Note 14, p. 20; and Edward C. Boyle, "Identifying Client Population and Client Needs," in *The Regional Institute on Community Residential Treatment Centers*, *Supra* Note 2, pp. 205-212.

22. McCartt, *id*. p. 40; National Institute of Law Enforcement and Criminal Justice, *id*., p. 19 ff.; National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, *Halfway Houses, National Evaluation Program, Phase I Summary Report* by E.W. Carlson, H. H. Bowman, J. J. Granfield, N. J. Beran, and H. E. Allen (U.S. Government Printing Office, Washington, D.C. 20402, Stock Number 027-000-00468-7, 1977); Warren A. Kass, "An Overview of Treatment Modalities," in *The Regional Institute on Community Residential Treatment Centers*, *Supra* Note 2, pp. 241-46; and, National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, *Contracting for Correctional Services in the Community, Vol I, Summary Report* by G. Kassebaum, P. Nelligan, B. Wayson, M. Sakuri, J. Seldin, D. T. Takeuchi and G. Monkman (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00630-2, 1978).

23. McCartt, *id*., pp. 21 ff; National Institute of Law Enforcement and Criminal Justice, *Supra* Note 14, p. 5; and Kass, *id*., pp. 20 ff.

24. Chamberlain, *Supra* Note 2, p. 76; McCartt, *id*., pp. 38-39; National Institute of Law Enforcement and Criminal Justice, *Supra* Note 14, pp. 46 ff.

25. McCartt, *id*., p. 37.

26. National Institute of Law Enforcement and Criminal Justice, *Supra* Note 14, p. 70.

27. McCartt, Supra Note 8, pp. 21 ff.

28. Gary Hill, "House Hustling" in The Regional Institute on Community Residential Treatment Centers, Supra Note 2, pp. 25-32, Parker Evatt and John A. Brown "Selling Community Residential Treatment Center to Bureaucracies" in The Regional Institute on Community Residential Treatment Centers, id.; National Institute of Law Enforcement and Criminal Justice, Supra Note 14, pp. 12 ff.

29. National Institute of Law Enforcement and Criminal Justice, Supra Note 10; and National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Montgomery County Work Release/Pre-Release Program--An Exemplary Project, by Robert Rosenblum and Debra Whitcomb, (U.S. Government Printing Office, Washington, D.C. 20402, Stock Number 027-000-00673-6, 1978).

30. National Institute of Justice, U.S. Department of Justice, Unification of Community Corrections: Program Models, by E.K. Nelson, Jr., Robert C. Cushman and Nora Harlow, (U.S. Government Printing Office, Washington, D.C. 20402, forthcoming, 1980).

31. National Institute of Law Enforcement and Criminal Justice Supra Note 14, p. 14.

32. Kassebaum et al, Supra Note 22.

33. McCartt, Supra Note 8, pp. 21-32.

34. National Institute of Law Enforcement and Criminal Justice, Supra Note 14; John M. McCartt "Setting Fiscal Policies" The Regional Institute on Community Residential Treatment Centers, Supra Note 2, pp. 93-102; and Norman F. Chamberlain "Grant and Proposal Writing" The Regional Institute on Community Residential Treatment Centers, id., pp. 103-30.

35. McCartt, Supra Note 8; and J. Bryan Riley, "Community Residential Treatment Center Boards," The Regional Institute on Community Residential Treatment Centers, id., pp. 197-204.

36. Supra Note 15.

37. McCartt, Supra Note 8, p. 127.

38. J. Bryan Riley, "Internal House Management," The Regional Institute on Community Residential Treatment Centers, Supra Note 2, pp. 169-76; and Tom H. Christensen "Management by Objectives as Decision Making," The Regional Institute on Community Residential Treatment Centers, id., pp. 79-92.

39. J. Bryan Riley, "Staffing and Personnel Policy" The Regional Institute on Community Residential Treatment Centers, id., pp. 131-42; and E.B. Henderson, III, "Personnel Practices," The Regional Institute on Community Residential Treatment Centers, id., pp. 143-162.

40. Parker Evatt and John Brown, "Community Residential Treatment Facilities." The Regional Institute on Community Residential Treatment Centers, id., pp. 177-96; and Riley, Supra Note 38.

41. Riley, Supra Note 39; Henderson, Supra Note 39.

42. Christensen, Supra Note 38.

43. Carlson et al, Supra Note 22.

44. Lee T. Lawless and Jerry Simon, "Overview of Prisoner's Rights for Community Residential Treatment Centers," in The Regional Institute on Community Residential Treatment Centers, Supra Note 2, pp. 313-320; and M. Kay Harris, "The Rights of Offenders," in The Regional Institute on Community Residential Treatment Centers, id., pp. 321-328.

45. Riley, Supra Note 38.

46. Halfway house program components are identified by Carlson et al, Supra Note 22, as: Employment, Education, Finances, Family Relationships, Interpersonal Relations, Client Self-Concept, Drugs and Alcohol, Leisure Time Activities, Community Placement, Physical Disability Services; Kass, Supra Note 22, provides a selected bibliography on the following treatment modalities: Behavior Modification; Counseling; Encounter; Gestalt Therapy; Juvenile Oriented Therapies; Primal Therapy; Rational Emotive Therapy; Reality Therapy; Token Economy; and Transactional Analysis.

47. Carlson et al, Supra Note 22, pp. 11-12.

48. E. F. Fox et al, "The Termination Process: A Neglected Dimension in Social Work," Social Work, (October, 1969); 53; and Terry Brenner, "Adolescent Needs with Programming Responses," in The Regional Institute on Community Residential Treatment Centers, Supra Note 2, pp. 223-32.

FOOTNOTES

Chapter VI

1. Gary L. Wamsley and Mayer N. Zald, The Political Economy of Public Organizations. (Lexington, Mass.: D. C. Heath, 1973.) This work elaborates upon the interface of external forces and the organization.

2. The multiple roles of citizens and their potential influence upon community correctional centers has been explored in: National Advisory Commission on Standards and Goals, Corrections (Washington, D.C.: Government Printing Office, 1973) pp. 221-246.

3. Stanley E. W. Seashore and Ephrain Yuchtman, "A System Resource Approach to Organizational Effectiveness," American Sociological Review, Vol. 32, N. 6 (December 1967). These authors have built upon the proposition that organizations are "open" systems which constantly interact with their environment.

4. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Evaluation of the Des Moines Community-Based Corrections Replication Program: Summary Report, by Robert Rice (U.S. Government Printing Office, Washington, D.C. 20402, Stock Number 029-000-007961, 1979).

5. James D. Thompson, Organizations in Action (New York: McGraw-Hill, 1967.)

6. The former is preferable. See, for example, Article 27, paragraph 706, Annotated Code of Maryland, Community Adult Rehabilitation Centers.

7. The three private centers visited by these authors (Talbert House, Madgala Foundation, and Mahoning County) all had well-articulated and complete articles of incorporation and by-laws.

8. Guidelines for the development of by-laws are found in: Law Enforcement Assistance Administration, Technical Assistance Division, U. S. Department of Justice, Guidelines and Standards for Halfway Houses and Community Treatment Centers, by John M. McCartt, and Thomas J. Mangogna (U.S. Government Printing Office, Washington, D.C. 20402, Stock Number 027-000-00187-4, 1973).

9. For the governing authority itself, by-laws should include provisions for membership, size, method of selection, terms of office, duties and responsibilities, times of meetings, committees and quorums, parliamentary procedures, recording of meetings, methods of amending by-laws, conflict of interest provisions, and specification of the relationship of the chief executive to the governing authority.

10. These concerns are often translated into restrictive zoning, In Maryland, for example, zoning was found which explicitly excluded community correctional centers from the community although it allowed group residential facilities for other categories of citizens.

11. Additional techniques are discussed in Patricia Stickney (ed.), *Gaining Community Acceptance* (White Plains, Westchester *Community Services Council*, 1976) and U.S. National Institute for Juvenile Justice and Delinquency Prevention, *Juvenile Correctional Reform in Massachusetts* (Washington, *D.C.: U.S. Government Printing Office, Stock Number 027*-000-00483-1, 1977) pp. 81-91.

12. National Advisory Commission on Criminal Justice Standards and Goals, *Corrections*, (Washington D.C.: Government Printing Office, *Stock Number 0*-494-672, 1973).

13. For additional guidance see: L. T. Lawless, *An Overview of Prisoner's Rights for Community Correctional Center Administrators (Cincinnati: International Halfway House Association, 1975)*.

14. Many variations are possible. In Rochester, Minnesota, for example, the PORT residential center has a private Board of Directors, but a Corrections Advisory Board oversees the total community correctional system. A subcommittee of this Advisory Board has oversight responsibility for its contract-for-services with PORT. An excellent discussion of community citizen groups can be found in Joseph L. Rodgers, Jr., *Citizen Committee: A Guide to Their Use in Local Government, (Cambridge, Mass.: Ballinger, 1977.)* More specific treatment may be found in Ivan H. Scheier et al, *Guidelines and Standards for the Use of Volunteers in Correctional Programs*, (Washington, D.C.: Government Printing Office,

15. U.S. President's Commission on Law Enforcement and the Administration of Justice, *Task Force Report: Corrections.* (Washington, D.C.: Government *Printing Office, Stock Number* PR36.8-L41/C81, 1967) p. 44.

16. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, *Evaluation of the Des Moines Community-Based Corrections Replication Program: Summary Report*, by Robert Rice (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-007-961, October 1979).

17. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, *Community-Based Corrections in Des Moines--An Exemplary Project*, by David Boorkman, Ernest J. Fazio, Jr., Noel Day, and David Weinstein (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00398-2, 1976).

18. National Advisory Commission on Criminal Justice Standards and Goals, Corrections (Washington, D.C.: U.S. Government Printing Office, Stock Number 0-494-672, 1973).

19. For details, see: National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Contracting for Correctional Services in the Community, Summary, Vol. I by Gene Kassebaum et al (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00630-2, May 1978); and National Institute of Law Enforcement and Criminal Justice, Supra Note 17, p. 16.

20. The need for center-university collaboration is brought out by the Seiter et al, review of some fifty evaluations of halfway house programs and the survey of more than one hundred fifty programs. Deficiencies in most evaluations were found because goals were vague and measurement imprecise. Closer collaboration between centers and the academic community might have minimized such problems. See: National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Halfway Houses, National Evaluation Program, Phase I Summary Report by E.W. Carlson, H. H. Bowman, J. J. Granfield, N. J. Beran and H. E. Allen (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00468-7, 1977).

21. National Institute of Law Enforcement and Criminal Justice, op cit, Supra Note 17, p. 16.

22. Kenneth F. Schoen, "PORT: A New Concept of Community Corrections," Federal Probation, Vol. 36, No. 3 (1973) pp. 35-40.

23. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Evaluation of the Des Moines Community-Based Corrections Replication Program: Summary Report, by Robert Rice (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-007-961, October 1979). A forthcoming publication concerning the unification and consolidation of community correctional programs also highlights many of the factors which facilitate cooperation and discusses some pitfalls to be avoided. See National Institute of Justice, U.S. Department of Justice, Unification of Community Corrections: Program Models by E. K. Nelson, Jr., Robert C. Cushman and Nora Harlow (Washington, D.C.: U.S. Government Printing Office, forthcoming, 1980).

24. A discussion of this evolution and its parallels in the management of correctional institutions may be found in Elmer K. Nelson and Catherine H. Lovell. Developing Correctional Administrators. (Washington, D.C.: Joint Commission on Correctional Manpower and Training, 1969) pp. 1-12; see also: Donald Wren. The Evolution of Management Thought. (New York: Ronald Press Company, 1972).

25. Frederick W. Taylor. Principles of Scientific Management. (New York: Harper and Row, 1911).

26. Fritz J. Roethiesberger and William Dickson, Management and the Worker (Cambridge, Mass,: Harvard University Press, 1939). An opposing model of motivation has been developed which holds that performance creates satisfaction, not vice versa as human relations proponents had contended. This model is outlined in Victor Vroom, Motivation and Morale (New York: John Wiley, 1964).

27. For a discussion of recent theories, see: Daniel Katz and Robert Kahn, The Social Psychology of Organizations (New York: John Wiley, 1958); James G. March (ed.), Handbook of Organizations (Chicago: Rand McNally, 1958); Douglas McGregor, The Human Side of Enterprise (New York: McGraw-Hill, 1960); Resis Likert, New Patterns of Management (New York: McGraw-Hill, 1967); and Chris Argyris, Integrating the Individual and the Organization (New York: John Wiley, 1961).

28. A discussion of contingency theory may be found in: Henri Tosi and Stephen Carroll, Management: Contingencies, Structure, and Process (Chicago: St. Clair Press, 1976); and Fremont Kast and James Rosenzweig, Organizations and Management (New York: McGraw-Hill, 1974).

29. For additional discussion of these concepts see: Chester A. Barnard, The Functions of the Executive (Cambridge, Mass.: Harvard University Press, 1938); Philip Selznick, Leadership in Administration (White Plains, N.Y.: Row Peterson, 1958), pp. 1-28; and, James D. Thompson, Organizations in Action (New York: McGraw-Hill, 1967) pp. 144-158.

30. Alan R. Coffey, Correctional Administration (Englewood Cliffs, N.J.: Prentice-Hall, 1975) pp. 164-183.

31. An expanded discussion of these perspectives may be found in: Harold Koontz and Cyril O'Donnell, Principles of Management, 5th ed. (New York: McGraw-Hill, 1972), pp. 46-65; Henry C. Metcalf and Lyndall Urwick (eds.), Dynamic Administration: The Collected Papers of Mary Parker Follett (New York: Harper & Row, 1941); Henri Fayol, General and Industrial Administration (London: Sir Isacc Pitman and Son, 1949), pp. 43-110, and Luther Gulick and Lyndall Urwick (eds.), Papers on the Science of Administration (New York: Institute of Public Administration, 1937), pp. 3-45.

32. The organizing process may be simplified by the use of activities, decisional, or relational analyses. A discussion of these analytical techniques may be found in Peter Drucker, The Principles of Management (New York: Harper and Row, 1954), pp. 194-201.

33. Program components in Des Moines report to the director of the Department of Community Corrections (in turn, the director is accountable to the county board of supervisors, by whom he was hired.) His ability to supervise and coordinate diverse but related activities contributed significantly to the exemplary quality of that project.

Some of the difficulties of the Salt Lake replication project can be traced to the dispersal of accountability. The replication effort in Orlando, Florida, also provides a good example of the problems that may be encountered. See: Rob Wilson, "Replicating LEAA's First Exemplary Program: Plaudits in Des Moines, but Problems in Salt Lake," Corrections Magazine, Vol. 2, No. 5 (September, 1976), pp. 13-14, 16-24; and National Institute of Justice, Supra Note 23.

34. On this subject see Edward C. Schleh, Management by Results (New York: McGraw-Hill, 1961); and Peter F. Drucker, Managing for Results (New York: Harper and Row, 1964).

35. A large body of research pertaining to the dynamics of small groups has provided useful insights regarding the span of management concept. This research is well summarized by R. J. House and J. B. Miner, "Merging Management and Behavioral Theory: The Interaction Between Span of Control and Group Size," Administrative Science Quarterly, Vol. 14, No. 13 (September, 1969), pp. 451-464.

36. Experience has shown that written documentation is an important principle of management. See: Koontz and O'Donnell, Principles of Management, 5th ed. (New York: McGraw-Hill, 1972), pp. 46-65. A practical example may be found in PORT "Corrections Center Operating Manual," (Rochester, Minn: PORT project, revised edition, September, 1976).

37. See, for example, Thomas J. Mangogna, Magdala Foundation Annual Report (St. Louis, MO: Magdala Foundation, 1977).

38. See, for example, John M. McCartt, Talbert House: Ten Years of Community Services (Cincinnati, Ohio: Talbert House, Inc., 1977).

39. Talbert House has a newsletter, as does the Mahoning County Treatment Program, whose newsletter, Alternatives, is produced as part of a work program.

40. See: Dorwin Cartwright and Alvin Zander (eds.), Group Dynamics: Research and Theory, 3rd ed. (Evanston, Ill. Row, Peterson, 1968), especially the articles on pp. 318-350; and G. Swanson, T. Newcomb, & E. Hartley (eds.), Readings in Social Psychology (New York: Henry Holt, 1952), pp. 459-473.

FOOTNOTES

Chapter VII

1. These concepts are fully discussed in Chester A. Barnard, The Functions of the Executive, (Cambridge, Mass.: Harvard University Press, 1938); George C. Homan, Social Behavior: Its Elementary Forms, (New York: Harcourt Brace & World, 1961); and Harold Koontz and Cyril O'Donnel, Principles of Management, 5th Edition, (New York: McGraw Hill, 1972), pp. 417-436, 499-523, 582-606.

2. A number of excellent ideas and examples are contained in Winston Crouch, Local Government Personnel Administration, (Washington, D.C.: International City Management Association, 1976).

3. Detailed discussion of this topic may be found in David Rosenbloom, Federal Service and the Constitution: The Development of the Public Employment Relationship (Ithaca, Cornell University Press, 1971) and Charles H. Levine (ed.); Managing Human Resources: A Challenge to Urban Governments (Beverly Hills, Calif.: Sage Publications, 1977), pp. 57-82.

4. Guidelines for the maintenance of personnel records are found in the Federal Privacy Act of 1974.

5. A discussion of typical provisions found in collective bargaining agreements is contained in Joann E. Morton (ed.), Readings in Public Employee/Management Relations for Correctional Administrators, (Athens, Ga.: University of Georgia, 1973).

6. Although institutionally oriented, a useful comprehensive review of correctional unionism has been prepared by the American Justice Institute. See: John Wynne, Prison Employee Unionism: The Impact on Correctional Administration and Programs, (Sacramento, California: American Justice Institute, February 1977); and, M. Robert Montilla, Prison Employee Unionism: A Management Guide for Corrections Administrators, (Sacramento, California: American Justice Institute, February 1977).

7. A discussion of staffing levels may be found in: National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Community-Based Corrections in Des Moines--An Exemplary Project, by David Boorkman, Ernest J. Fazio, Jr., Noel Day, and David Weinstein (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00398-2, 1976) pp. 15-48; Ann Parker et al, So You Want to Start a Community Corrections Project, (Washington, D.C.: National Council on Crime and

Delinquency, 1974): Harold Bradley et al, The Non-Prison, (Sacramento, Calif.: Institute for the Study of Crime and Delinquency, 1970), pp. 60-68; U.S. General Accounting Office, Federal Guidance Needed If Halfway Houses are to be a Viabile Alternative to Prison, (Washington, D.C.: General Accounting Office, 1975), pp. 42-47.

8. During the early years of community correctional center operations, the recruitment of qualified administrators and senior staff often was difficult and nationwide searches were not uncommon. The Rochester PORT program, for example, recruited an individual from Florida to be its first director; the first Salt Lake administrator was from California.

9. A complete discussion of this recent emphasis is found in Felix A. Nigro and Lloyd G. Nigro, The New Public Personnel Administration, (Itasca, Ill.: F. E. Peacock, 1976), pp. 165-189.

10. 401 U.S. 424 (1971).

11. Public Law 92-261. 92nd Congress, HR 1746, March 24, 1972.

12. A useful reference aid in this regard is: Office of Criminal Justice Assistance, U.S. Department of Justice Guidelines and Standards for the Use of Volunteers in Corrections Programs, by Ivan H. Scheier and M. L. Cox (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00630-2, 1978).

13. Some helpful suggestions are found in Ira Schwartz, "Volunteers and Professionals: A Team in the Correctional Process," Federal Probation XXXV, No. 3 (September 1971), pp. 49-50; James Jorgensen and Ivan Scheier, Volunteer Training for Courts and Corrections, (Metuchen, N.J.: Scarecrow Press, 1973); Peter Gurfein and Trisha Streff, Liability in Correctional Volunteer Programs, (Washington, D.C.: American Bar Association, 1975); California Department of the Youth Authority, Model Volunteer Project Information Series, (Sacramento, Calif.: California Department of the Youth Authority, 1974).

14. See: Joint Commission on Correctional Manpower and Training, Offenders As a Correctional Manpower Resource, (Washington, D.C.: Joint Commission, 1968).

15. Boorkman et al, Supra Note 7.

16. Joint Commission on Correctional Manpower and Training Act, A Time to Act, (Washington, D.C.: Joint Commission, 1969), p. 30.

17. Law Enforcement Assistance Administration, U.S. Department of Justice, Evaluation of the Alvis House Case Aide Training Program, by R. P. Seiter, and C.E. Simonsen (Columbus, Ohio: Ohio State University, Program for the Study of Crime and Delinquency, 1974).

18. John M. Trojonwicz and Robert C. Trojonowicz, "The Role of a College Education In Decision-Making," Public Personnel Review, Vol. XXXIII, No. 1 (January 1972), p. 29.

19. For a contemporary assessment of this technology see Chester A. Newland (ed.), MBO and Productivity Bargaining in the Public Sector, (Chicago: International Personnel Management Association, 1974); and Harry Levinson, "Management By Whose Objectives?", Harvard Business Review, Vol. 42, No. 4 (July/August, 1970), pp. 125-134.

20. For an early discussion of the use of management-by-objectives in performance appraisal see Douglas McGregor, "An Uneasy Look at Performance Appraisal," Harvard Business Review, Vol. 35, No. 3 (May/June, 1957), pp. 89-94; and Peter F. Drucker, The Practice of Management, (New York: Harper and Row, 1954).

21. An innovative "sensitivity training" program has been tried in the state of Washington. In an effort to sharpen staff awareness of the conditions that tend to produce deviance, staff members were exposed to those conditions and asked to keep records of their experiences and feelings. This experimental training effort is reported in W. T. Adams, Community Resources Training Center for Corrections, (Seattle, Washington: Washington, Department of Social and Health Services, 1970).

22. For a discussion of a management education program see: E. E. Miller and M. R. Montilla, Corrections in the Community-Success Models in Correctional Reform (Reston, Va.: Reston Publishing Co., 1977).

FOOTNOTES

Chapter VIII

1. See National Institute of Justice, U.S. Department of Justice, *Unification of Community Corrections: Program Models*, (Washington, D.C.: U.S. Government Printing Office, forthcoming, 1980).

2. In the case of the Salt Lake City replication project, the grant writers were less than candid regarding the project's role and excessively optimistic regarding the number of clients to be served. This created subsequent embarrassing problems for the center. See: Steven T. Seitz, William M. Rhodes, and Thomas Blomberg, *An Evaluation of the LEAA Replication of the Des Moines Community-Based Corrections Replication Program*, unpublished draft report prepared under grant 77-NI-99-0020, National Institute of Law Enforcement and Criminal Justice, Law Enforcement Assistance Administration, U.S. Department of Justice, Washington, D.C., 1978),

3. Opportunities for contracting with private organizations for service delivery are described in: National Institute of Justice, U.S. Department of Justice, *Contracting for Correctional Services in the Community*, Vol. I and II, by Gene Kassebaum, et al (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00630-2, May 1978).

4. Dodge-Filmore-Olmsted Counties Community Corrections Advisory Board, "An Evaluation of the Advisory Board and Its Subcommittees (mimeo); or Dodge-Filmore-Olmsted Counties Community Corrections Advisory Board, "Court Services Program, Clients Survey," (mimeo). (Rochester, Minn.: Dodge-Filmore-Olmsted Community Corrections, 1978).

5. Vancouver, Washington, Health and Welfare Planning Council, "Community-Based Corrections Evaluation: 1977," (Vancouver, Washington: Health & Welfare Planning Council, 1978).

6. For an example of suitability criteria, see: PORT of Olmsted County, "The Corrections Center Policy Manual," (Rochester, Minn: PORT revised September 1976) pp. 1-2.

7. Perhaps the most widely known experimental program which matched offenders with treatment mode was the California Youth Authority, *Community Treatment Project, Research Reports*, (Sacramento, Calif: 1961-73). A critical assessment of this program is provided in Paul Lerman, *Community Treatment and Social Control*, (Chicago: University of Chicago Press, 1975),

8. For specialized program suggestions see National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice Mentally Retarded Offender and Corrections, by Miles Santamour and Bernadette West (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00528-4, 1977) and, Office of Criminal Justice Planning, Guide to Correctional Planning in California. (Sacramento, Calif.: Office of Crminal Justice Planning, 1975).

9. See: National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Community-Based Corrections in Des Moines--An Exemplary Project, by David Boorkman, Ernest J. Fazio, Jr., Noel Day and David Weinstein (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00398-2, 1976) pp. 39.40; Anne Newton "Alternatives to Prison," Crime & Delinquency Literature, Vol. 8, (March, 1976), pp. 109-125; and Anne Newton, "Aid to the Victim," Crime & Delinquency Literature, Vol. 8, (September, 1976), pp. 368-390.

10. Law Enforcement Assistance Administration, U.S. Department of Justice, Management by Objectives: A Correctional Perspective by Mark McConkie (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00352-4, 1975).

11. The "supervision" guidelines that follow reflect these general perspectives. For more detail see: American Correctional Association, Manual of Standards for Adult Probation and Parole Field Service. (Washington, D.C., American Correctional Association, 1977).

12. For details see: PORT Handbook: A Manual for Effective Community Action with the Criminal Offender (Rochester, Minn.: PORT of Olmsted County, 1972); and Kenneth Schoen, "PORT" A New Concept of Community-Based Corrections," Federal Probation, Vol. 36, 1973) pp. 35-40.

13. Boorkman et al, Supra Note 9.

14. Ibid.

15. The precise nature of the disruptive client's involvement in the center will determine the procedures for such removal. The method of removal thus will depend upon the legal status of the client (e.g., whether he is a pre-trial releasee, a probationer, or a parolee).

FOOTNOTES

Chapter IX

1. For greater detail, the reader is urged to review such publications as the Standards of the Commission on Accreditation for Corrections. Few comments in this volume address the broad area of resident accommodations (storage, floor space, showers, wash basins, etc.) whereas the Standards provide explicit guidance (such as 60 square feet per resident in the sleeping area). Reference to the Standards early in planning for establishment or modification of community correctional facilities and programs is encouraged. Early planning also should consider accreditation specifically. See: American Correctional Association, Manual of Standards for Adult Community Residential Services. (College Park, Md.: American Correctional Association, 1977).

2. An illustration of the concept of fitting the community environment can be found in Anson, Grove, Haack, & Associates, Community-Based Correctional Center Programs, 2 vols., (Fort Lauderdale, Fla.: Anson, Grove, Haack, & Associates, 1970).

3. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Community-Based Corrections in Des Moines--An Exemplary Project, by David Boorkman, Ernest J. Fazio, Jr., Noel Day, and David Weinstein, (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00398-2, 1976) p. 32.

4. For guidance on choosing the type and location of the physical facility plus program design ideas see: Law Enforcement Assistance Administration, Technical Assistance Division, U.S. Department of Justice, Guidelines and Standards for Halfway Houses and Community Treatment Centers, by John M. McCartt, and Thomas J. Mangogna (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00187-4, 1973) and Harold Bradley et al, The Non-Prison. (Sacramento: Institute for the Study of Crime and Delinquency, 1970).

FOOTNOTES

Chapter X

1. See Wallace Mandell, "Making Corrections a Community Agency," Crime & Delinquency, Vol. 17, No. 3 July 1971).

2. Public and private social agencies, particularly in a period of increasingly scarce fiscal resources, often are forced to compete with one another for funding. The shortage of funds and other resources may make the goal of crime reduction a tempting one for groups and organizations to adopt temporarily. See: Dale Hardman, "Corrections and the Community." Federal Probation, Vol. 34, No. 1 (March 1970), pp. 20-24.

3. One of the best examples of this effort is found in The Manual for Effective Community Action with the Criminal Offender. (Rochester, Minn.: PORT of Olmsted County, 1972).

4. National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Evaluation of the Des Moines Community-Based Corrections Replication Program: Summary Report, by Robert Rice (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-007-961, October 1979).

5. For example see the Comprehensive Plan (Rochester, Minn.: Dodge, Filmore, Olmsted Community Correctional System, 1978).

6. National Institute of Law Enforcement and Criminal Justice, Supra Note 6, p. 47.

7. For additional information on budgeting, see: Robert Lee and Ronald Johnson, Public Budgeting Systems (Baltimore, Md.: University Park Press, 1973).

FOOTNOTES

Chapter XI

1. National Institute of Mental Health, U.S. Department of Health, Education and Welfare, Routinizing Evaluation-Getting Feedback on Effectiveness of Crime and Delinquency Programs, by Daniel Glaser (Washington, D.C.: U.S. Government Printing Office, Stock Number 1724-00319, 1973); National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Techniques for Project Evaluation-A Selected Bibliography, by Guy D. Boston (Rockville, Maryland: National Criminal Justice Reference Service, 1977); Jack Reynolds, Management-Oriented Corrections Evaluation Guidelines (Washington, D.C.: Center for Human Services, 1976); National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Evaluation Research in Corrections--A Practical Guide, by Stuart Adams (Washington, D.C.: U.S. Government Printing Office, Stock Number 2700-00270, 1974); National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Intensive Evaluation for Criminal Justice Planning Agencies, by Donald R. Weidman, John D. Waller, Donna MacNeil, Francine L. Tolson, and Joseph S. Wholey (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00348-6, July 1975); National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Monitoring for Criminal Justice Agencies, by John D. Waller, Donna MacNeil, John W. Scanlon, Francine L. Tolson, and Joseph S. Wholey (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00300-1, March 1975).

2. Reynolds, Supra Note 1, p.3.

3. Reynolds, Supra Note 1, p. 4.

4. Adams, Supra Note 1, p. 43.

5. Reynolds, Supra Note 1, pp. 61-64.

6. Glaser, Supra Note 1, p. iii.

7. Reynolds, id., p. 30.

8. Adams, Supra Note 1, pp. 46-48.

9. See, for example: Commission on Accreditation for Corrections, Manual of Standards for Adult Community Residential Services (Rockville, Md.: Commission on Accreditation for Corrections, 1977); and John M. McCartt and Thomas J. Mangogna, Guidelines and Standards for Halfway Houses and Community Treatment Centers, U.S. Department of Justice, Law Enforcement Assistance Administration, Technical Assistance Division, 1973.

10. Commission on Accreditation for Corrections, Supra Note 9, p. 6.

11. Adams, Supra Note 1, pp. 53-97.

12. For a discussion of systems analysis and information needs in the field of criminal justice, see: Malcolm Klein, Solomon Kobrin, Alexander McEachern, and Herbert Sigurdson, "System Rates: An Approach to Comprehensive Criminal Justice Planning," Crime and Delinquency, Vol. 17, No. 4 (October 1971), pp. 355-372; and Robert M. Carter, Cameron Dightman, and Malcolm Klein, "The System Approach to Description and Evaluation of Criminal Justice Systems: An Illustration," Criminology, Vol. 2, No. 4 (February 1974), pp. 462-482.

13. Information on evaluation and other training programs may be obtained by writing the Criminal Justice Training Center at one of the following Universities: Florida State University, Northeastern University, University of Southern California, University of Wisconsin at Milwaukee, or Washburn University.

10. Commission on Accreditation for Corrections, Supra Note 8, p. 1.

11. Adams, Supra Note 1, pp. 31-55.

12. For a discussion of systems analysis and information needs in the field of criminal justice, see: Malcolm Klein, Solomon Kobrin, Alexander McEachern, and Herbert Sigurdson, "System Rates: An Approach to Comprehensive Criminal Justice Planning," Crime and Delinquency, Vol. 17, No. 4 (October 1971), pp. 355-372, and Robert [illegible], Cameron Hightower, and [illegible], "The Systems Approach to the Description and Simulation of Criminal Justice Systems: Some Illustrations," Criminology, Vol. 8, No. 4 (February 1971), pp. [illegible] 462.

13. Information on evaluation and other training programs may be obtained by writing the Criminal Justice Training Center at one of the following universities: Michigan State University, Northeastern University, University of Southern California, [illegible], University of Wisconsin, or Southern [illegible] University.

ANNOTATED BIBLIOGRAPHY

American Bar Association, Community Programs for Women Offenders--Costs and Economic Considerations (Washington, D.C.: American Bar Association, 1975).

Comparative cost information is provided for halfway houses, incarceration, vocational training, and education. Alternatives for incarcerated women, such as presentence screening and expanded community-based corrections, are compared. Incarceration is found to be less effective than community programs in providing job training. The study concludes that vocational training and education combined with guaranteed placement is a preferred alternative. The survey was based upon data from the District of Columbia female offender population and correctional programs.

American Correctional Association, Manual of Standards for Adult Community Residential Services (College Park, Md.: American Correctional Association, 1977).

This manual presents 195 standards dealing with such topics as administration, fiscal management, personnel, facility, intake, program, food and medical services, volunteer involvement, out-client services, records, communication, and evaluation. Additional standards for pre-release centers are provided. Each standard is followed by a brief discussion and is designated as either essential or important.

Much of the content draws upon the experience of the International Halfway House Association. The community residential program referred to in the work is a relatively open facility located in a local neighborhood and utilizing community resources to provide most services to offenders. The central goal of such a center is to provide offenders with numerous opportunities to interact with community persons and organizations. Use of community resources, offender involvement in community activities, and community involvement with offenders are advocated.

Pre-release centers are facilities reserved exclusively for inmates nearing the end of institutional confinement. Halfway houses provide services to a wider range of clients. Most are operated under non-governmental auspices with more flexible rules and regulations than pre-release centers.

American Correctional Association, Manual of Standards for Adult Probation and Parole Field Services (College Park, Md.: American Correctional Association, 1977).

This manual lists 208 standards covering such topics as administration, organization, and management, personnel, fiscal management, case records, management information systems, research, planning and coordination, supervision, and presentence investigations and reports. Each standard is accompanied by a brief discussion and is designated as either essential or important.

The standards focus upon service delivery systems rather than where or how the activity should be located in the governmental structure. The intent is to provide practical objectives and guidelines for probation and parole professionals. Although probation and parole are both concerned with supervision of the offender in the community, legitimate differences between the two are considered in the standards.

Bakal, Yitzhak (ed.), Closing Correctional Institutions: New Strategies for Youth Services (Lexington, Mass.: Lexington Book, 1973).

The papers presented in this collection review and discuss the arguments against institutionalization and the concepts of and rationales for alternatives. The process of creating community-based services is discussed and case studies are provided with an emphasis on the unique situation in Massachusetts.

Beha, Jr., Carlson, K, and Rosenblum, R.H., Sentencing to Community Services (Washington, D.C.: National Institute of Law Enforcement and Criminal Justice, 1977).

This document outlines several types of community service alternatives and discusses the potential problems of each. Separate chapters are devoted to the legal authority for the community service sentence, planning and administrative issues, theory associated with alternative sentencing, and the methods of program evaluation. The extent to which this sentencing alternative is used and its impact on the judicial system are unknown. Proponents of this alternative contend that a fine and/or a jail term are not always in the best interest of the misdemeanant offender or the community.

Boesen, Povl and Grupp, Stanley (eds.), Community-Based Corrections: Theory, Practice and Research (Santa Cruz, Ca.: Davis Publishing Co. 1976).

Twenty-three essays from government publications and professional journals have been grouped into the three categories of theory, practice, and research. The articles were selected to raise key issues in this field of corrections and to provide a sampling of successful programs.

Commentary introducing the collection calls attention to the parallel trends in corrections and mental health or the care of dependent children. Community-based corrections has expanded well beyond the traditional boundaries of probation and parole, but the underlying philosophy of this expanded effort remains unclear and programmatic evaluations do not convincingly support the claims made on behalf of the community-based movement.

Bradley, Harold et al., The Non-Prison: A New Approach to Treating Youthful Offenders (Sacramento, Calif.: Institute for the Study of Crime and Delinquency, 1970).

This volume is a condensed version of a report, Design for Change, prepared by the staff of the Institute for the Study of Crime and Delinquency. An introductory chapter outlines recent trends in corrections. This is followed by a conceptual model and a discussion of important aspects of the "ideal" community treatment center. The center is intended for young adults between 17 and 25 years of age. Design considerations, cost estimates, research and evaluation issues, and architectural sketches are included. It is suggested that 80 percent of the young adults now confined could be treated in a community center using a three-phase program. A typical stay of 24 months would emphasize group treatment, sharing of responsibilities, client participation in decision-making, and extensive use of community services and facilities. The third phase of an offender's treatment features living in the community and returning to the center for meetings.

Bureau of Rehabilitation, Special Report on Adult Offenders in the Community Residential Treatment Program (Washington, D.C.: Bureau of Rehabilitation, 1972).

The Bureau of Rehabilitation, a private nonprofit social service agency, operates four residential centers which can accommodate over 100 people. The centers serve correctional institution pre-releasees, many of whom work or enroll in an educational program while in residence. Most residents have a drug abuse background. This NIMH-funded project is evaluated in this study.

Carney, Louis P., Corrections and the Community (Englewood Cliffs, N.J.: Prentice-Hall, 1977).

This volume attempts to present a coherent view of community-based corrections in terms of its past influences, contemporary circumstances, and future hopes. It is warned that the justice system will become increasingly ineffectual unless corrections changes its direction to favor the community-based approach. Two chapters each are devoted to parole and probation. Separate chapters survey pre- and post-institutional programs. Drug programs, the role of the community, the place of volunteers and paraprofessionals, and the status of juveniles are briefly discussed.

It is observed that the existing system is unjust, institutions are failures, and that the current approach is vengeful and counterproductive. Although the community-based alternative is a promising one, it is claimed that no alternative will succeed unless society reassesses some basic values and rearranges priorities. Disparities in income distribution, discrimination, citizen apathy, inequality, and inconsistencies in the administration of justice hamper all efforts to reform the system by instituting alternatives.

Carter, Robert M. and Wilkins, Leslie T. (eds.), Probation, Parole, and Community Corrections, 2nd. ed. (New York: John Wiley, 1976).

This text containes 52 selected readings derived from sources ranging from government reports and association statements to articles prepared for professional journals. The readings are divided into eight sections covering such topics as rehabilitation, probation, parole, supervision, community corrections, legal aspects, research, organization, administration, and personnel. Each section is preceded by a brief introduction.

Articles included in the section on community-based corrections focus upon the history, rationale, implementation, functions, program content, and issues of current interest in the field. Some selections in the probation section highlight the probation officers' impact on court sentencing, the inadequacies of the medical model for probationer treatment, and the tensions between the philosophies of "just deserts" and traditional probation. Most of the articles in the parole section emphasize the "just deserts" or equity philosophy of corrections. The current practices and future of parole decision processes are evaluated in a series of scholarly articles.

Coats, Robert B. and Miller, Alden D., "Neutralizing Community Resistance to Group Homes," reprinted in: U.S. National Institute for Juvenile Justice and Delinquency Prevention, Juvenile Correctional Reform in Massachusetts (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00483-1, 1977), pp. 81-91.

The political aspects of community resistance are examined using six case studies in Massachusetts. Data were collected through interviews with city officials, police, clergy, agency representatives, and neighbors. It is concluded that a low-profile approach is best for a mobile, pluralistic community. A direct approach to community leaders is advised in those communities where civic leaders are known to play an active role. For those communities which are able to organize themselves, an appeal to leaders and grassroots residents is appropriate. A survey of the target community is considered essential to guide entry.

Fox, Vernon, Community-Based Corrections (Englewood Cliffs, N.J.: Prentice-Hall, 1977).

Various types of facilities, programs, problems, and issues associated with community corrections are surveyed in this text. An attempt is made to provide a rationale and a structure for community-based corrections programs which complement imprisonment, probation, and parole. It is suggested that staff of community-based programs mobilize community resources and perform many routine tasks so that probation and parole personnel are free to counsel and assist the client. Community-oriented programs are viewed as both more humane and more economical in dealing with offenders. No single pattern or prototype of community-based corrections is thought to exist in the public or private sector since successful programs reflect the personalities of the operators.

Galaway, B., Hudson, J., and Hollister, C.D., Community Corrections: A Reader (Springfield, Ill.: Charles C. Thomas, 1976).

This work is an anthology of 24 selections which present a rationale for deinstitutionalizing corrections, provide descriptions of community-based programs and services, and outline issues pertinent to the community corrections delivery system. Intended as a text for community corrections courses, this book also provides an introduction to the field for practitioners seeking to update their knowledge of community corrections issues and programs. Materials relating to diversion programs and emerging forms of residential community corrections are presented, as are current trends in the more traditional programs of probation and parole. Jail and detention facilities are presented as providing short-term programming for offenders. Among the specific topics covered in this text are the dissolution of training schools in Massachusetts, diversion programming in Minnesota, community service in England, residential community corrections, work release, and parole programs. Issues in community corrections are also examined, including corrections decentralization, citizen involvement, rights of offenders, and evaluation of community-based programs.

Galvin, J.J. et al., Instead of Jail--Pre and Post Trial: Alternatives to Jail Incarceration, 5 vols. (Washington, D.C.: National Institute of Law Enforcement and Criminal Justice, 1976).

Volume I summarizes this series of reports prepared to help local officials to reduce jail populations by expanding alternatives. The series discusses methods of implementing and operating alternatives to jail. The rationale for using alternatives is essentially one of cost savings.

Pretrial alternatives include police citations, release, and diversion. Post trial alternatives include custodial dispositions, reparations, and modified confinement. Program costs are compared and a guide to assessing pre- and post-trial practices and services in the community is provided.

Volume II of the series focuses upon summons and police citation, release on recognizance, and conditional release practices and arrangements. Policy issues associated with diversion are the subject of Volume III. Volume IV discusses the broad range of sentencing options and rationales for their use; and the last volume presents comparative cost figures, personnel requirements, issues of administrative organization, and program funding.

Greenberg, Davis F., "Problems in Community Corrections," Issues in Criminology, Vol. 10 (Spring 1975). pp. 1-33.

This article reviews three traditional rationales for community corrections, discusses some problems and unanticipated consequences of the movement, and suggests some future directions for community corrections. It is observed that community programs are no more effective than incarceration. While a community program may be less costly than incarceration, substantial budget cuts to institutions are not likely. On the whole, the community approach may be more humane, but it has shortcomings as well.

A review of eligibility criteria reveals that the fate of an offender in a community-based system depends upon his residence. Differences in community resources, project receptivity, and level of crime account for differential treatments. In turn, these differences promote perceptions of injustice and undermine confidence in the justice system. The predominantly subjective criteria for admission of candidates to community programs are highlighted and several unintended consequences of establishing a community-based program are discussed. These include an increased number of dangerous persons in prison, longer sentences for those incarcerated, and reduced emphasis on institutional reform and system improvement.

The future of community corrections appears to be strong. Factors supporting its expansion include cost savings, reaction against prison, the limited number of other alternatives (such as closing prisons), and prisoner support. Continued opposition can be expected from prison employees and the public and funding difficulties are likely to be experienced.

Griggs, Bertram and McCune, Gary, "Community-Based Correctional Programs: A Survey and Analysis," Federal Probation, Vol. 36 (1972). pp. 7-13.

This article traces the rate of growth and development of community-based programs, identifies sources of funding, ascertains the need for legislation, discusses various types of programs and populations served, and reviews problems associated with their establishment and operation. The most persistent problem has been negative community reaction. Enabling legislation in most states has been modeled after the federal program.

Harlow, Eleanor, "Intensive Intervention," Crime and Delinquency Literature, Vol. 2 (February 1970). pp. 3-46.

This essay reviews alternatives to institutionalization that emphasize dealing with the offender in the community through means other than traditional probation. These efforts, often referred to as community-based corrections, are organized into four groups: (1) parole and "probation plus;" (2) non-residential intensive treatment (attendance centers and guided group interaction programs); (3) residential programs and out-of-home placement; and (4) community correctional centers.

Although prisons are not effective, it does not follow that the best rehabilitative possibilities are to be found in the community. Most of the literature suggests that offenders eligible for supervision in the community do as well there as they do in prison but at far less cost. The cost savings realized through intensive intervention are held to be sufficient justification to prefer those alternatives for many offenders. A conspicuous lack of interest in intensive intervention programs for adult prison candidates is noted; adults are usually handled in a "prison plus" approach. Yet, it is claimed, large number of adult offenders could be placed in properly designed community-based programs.

Keller, Oliver, J. and Alper, Benedict S., Halfway Houses: Community-Centered Correction and Treatment (Lexington, Mass.: Heath Lexington Books, 1970).

It is argued that communities have some responsibility to help correct offenders and that a guided group interaction strategy is the most appropriate way to deliver that aid. In addition to guided group interaction, the treatment environments and delivery systems of group foster homes, pre-release centers, and halfway houses are discussed.

Three chapters are devoted to operating issues such as staffing, rules and sanctions, and costs. Closing chapters are reserved for a discussion of research and evaluation in community corrections. The residential center is viewed as the most important idea to arise in the field of corrections in fifty years. While the concept is also applicable to the adult offender, this presentation focuses on juveniles.

Killinger, George and Cromwell, Paul, Alternatives to Imprisonment: Corrections in the Community (St. Paul, Minn.: West Publishing Co., 1974).

A collection of 37 articles have been drawn from journals and government reports published in the last ten years. The topics include diversion from the system, probation and parole, and special community programs such as probation hostels and halfway houses.

Klapmuts, Nora, "Community Alternatives to Prison," Crime and Delinquency Literature, (June 1973), pp. 305-337.

A range of issues are reviewed relating to the following alternatives to prison: expanded use of probation, intensive intervention, non-residential treatment programs, and referral to residential programs. The intent is to respond to an array of questions raised by the proposal to phase out the extensive use of traditional prisons and training schools in favor of a community-based approach.

It is observed that the best rehabilitative possibilities may not be found in the community. The better research efforts have discovered that offenders eligible for supervision in the community do about as well in prison as they do in the community. Nonetheless, the reduced costs and avoidance of adverse effects upon the personal and social adjustment of the individual are sufficient rationales to support the community-based approach. It is also noted that prison populations could be reduced by: (1) decriminalizing victimless crimes; (2) handling minor deviance outside of court; (3) expanding the use of alternatives to jail and detention; and (4) greater reliance on deferred prosecution, suspended sentences, fines, restitution orders, and probation.

Law Enforcement Assistance Administration, Technical Assistance Division, U.S. Department of Justice, Guidelines and Standards for Halfway Houses and Community Treatment Centers, by John M. McCartt, and Thomas J. Mangogna, (U.S. Government Printing Office, Stock Number 027-000-00187-4, 1973).

The guidelines offered in this volume cover planning and implementing halfway houses and community treatment centers, including: the type and location of the physical facility, strategies for obtaining the support of key community leaders, program design, and staff training. Major sources of funding are identified and sample budgets are provided.

Minimum standards are proposed for administration, personnel, and program development. Appendices contain suggestions for agency by-laws, forms for personnel evaluation and statistical record-keeping, and other data.

Lawless, L.T., Overview of Prisoners Rights for Community Residential Treatment Center Administrators (Cincinnati, Ohio: International Halfway House Association, 1975).

This document explains the rights of prisoners in community-based correctional centers and provides illustrations by citing relevant federal court decisions. The first section deals with general issues, discussing the concepts of the least restrictive alternative and informed consent. The second section describes current trends in case law relating to the specific rights of individual prisoners. The latter include personal freedoms in the areas of religion, correspondence/visitation, and grooming; administrative policy rights including grievances, discipline, investigations, liability, and transfers; and health and welfare rights pertaining to safety, medical treatment, and rehabilitation.

Miller, E.E. and Montilla, M.R., *Corrections in the Community* (Reston, Va.: Reston Publishing Co., 1977).

Sixteen selections describe various approaches to community-based correctional programs. Each chapter provides a theoretical statement and background information on a particular program. Chapters are devoted to such topics as the halfway house movement, narcotics programs, work release and furlough projects, experimental programs with juveniles, management of community-based centers, and probation. A bibliography accompanies each chapter.

Minnesota Governor's Commission of Crime Prevention and Control, *Residential Community Corrections Programs in Minnesota: An Evaluation Report* (St. Paul, Minn.: Governor's Commission, 1976).

This report focuses on the more than forty residential community correctional projects created in Minnesota from 1969 to 1976. Based on the numbers of residents who successfully complete these programs, it appears that the programs are inappropriate for a majority of the current client groups, both adult and juvenile. The projects had little impact upon recidivism. For some offenders, placement in these facilities represented increased control from the justice system.

National Advisory Commission on Criminal Justice Standards and Goals, *Corrections* (Washington, D.C.: U.S. Government Printing Office, *Stock Number* 0-494-672, 1973) p. 5.

The Report on Corrections is one of a series issued by the Advisory Commission with the support of the Law Enforcement Assistance Administration. The Commission sought to develop a clear statement of priorities, goals, and standards to reduce crime. Whenever possible, the standards were based on operating programs and projects. The report emphasizes the systems dimension of criminal justice and the need for inter-organizational cooperation.

The seventeen chapters of the *Report* are divided into four major parts and encompass over 100 standards. Each standard is accompanied by commentary, a list of references (when available), and a list of related standards. Standards pertaining to community-based corrections are found in almost every chapter. Chapters 3, 4, 7, 10, and 12, respectively, cover diversion, pretrial release, community corrections, probation, and parole.

The Commission considers community-based programs (defined as any community activity aimed at helping the offender to become a law-abiding citizen) the most promising means of accomplishing change in offender behavior.

Chapter 7 discusses the rationale for community corrections, the role of citizens in corrections, ways of mobilizing community institutions, and the purchase of services for offenders. And Chapter 4 reviews five types of special community-based alternatives to incarceration, including: guided group interaction; foster homes and group homes; pre-release guidance centers; intensive treatment programs; and reception center parole. New York State's efforts to create a comprehensive set of alternatives to the incarceration of juveniles is described as a model.

National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Community-Based Corrections In Des Moines--An Exemplary Project, by David Boorkman, Ernest J. Fazio, Jr., Noel Day, and David Weinstein, (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-777-00398-2, 1976).

This document describes the operating methods of the first "exemplary" project supported by the National Institute. The authors also explore the key elements of a community-based corrections program, present evaluation data on the project, and report on the experiences of several communities which have replicated the project. Forms and legislation used in Des Moines are appended.

The four components of the Des Moines program (pretrial release, supervised release, probation/presentence investigation, and community correctional facility) are described in the initial chapter. While these components are not novel, their administrative and functional coordination under the Department of Court Services is new. Chapter two identifies some of the costs and benefits associated with the program and summarizes the results of evaluation studies.

Chapter three provides a "how-to-do-it" discussion of each program component, plus a description of some general administrative features of the project. This chapter reviews the purpose, procedures, and administrative structure of each component. The next chapter examines the philosophical and theoretical bases of the Des Moines program, while the fifth chapter briefly describes the range of operational community correctional programs. The final two chapters report the experiences of several communities which sought to replicate the project.

National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Contracting for Correctional Services in The Community, Vol. I, Summary Report by G. Kassebaum, P. Nelligan, B. Wayson, M. Sakuri, J. Seldin, D. T. Takeuchi and G. Monkman (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00630-2, 1978).

Volume I of this study is a summary description of the dynamics of contracting with private groups to obtain services for community correctional clients. These services include referrals to community programs, probation and parole supervision, and pre-release programs. Discussed are the clients of private pretrial diversion programs, how they are referred and who is accepted, and what is achieved through such procedures. The historical roots of contracting are explored, as are its legal and administrative contexts. Costs, sources of support and planning and research issues are discussed.

National Institute of Law Enforcement and Criminal Justice, U.S. Department of Justice, Halfway Houses by National Evaluation Program, Phase I Summary Report by E. W. Carlson, H.H. Bowman, J.J. Granfield, N.J. Beran and H.E. Allen (Washington, D.C.: U.S. Government Printing Office, Stock Number 027-000-00468-7, 1977).

This work is based on a review of 55 evaluations of halfway house programs and a survey of 153 programs. Due to vague goals and imprecise measurement of results few evaluations were praised. The general conclusions reached in the evaluations are: (1) Halfway houses prevent criminal behavior as effectively as other community-based programs. (2) Community crime rates and property values are not adversely affected by a halfway house. (3) If halfway houses were used to their full capacity they would not cost more than incarceration, although they would be more expensive than parole supervision.

National Institute of Mental Health, U.S. Department of Health, Education and Welfare Community-Based Correctional Program Models and Practices (Washington, D.C.: U.S. Government Printing Office, Stock Number PHS 2130, 1971).

This booklet describes specialized units within parole and probation departments. Community treatment projects such as group homes and foster care for juveniles and community correctional centers for adults are discussed.

This booklet is one of three prescriptive packages dealing with special offender groups and sponsored by the American Correctional Association. Programs serving retarded offenders were visited, professionals were interviewed, and the literature surveyed.

The manual provides a conceptual framework within which administrators can design and implement programs to return the mentally retarded offender to the community. The document provides information regarding: the needs and rights of these offenders; techniques for planning, implementing, and evaluating individual or group programs; and, approaches to staffing, training, and budgeting.

Newton, Anne, "Alternatives to Imprisonment: Day Fines, Community Service Orders, and Restitution," Crime and Delinquency Literature, Vol. 8, No. 1 (March 1976). pp. 109-125.

This essay reviews the principles and practices of three alternatives to incarceration. The essential argument for each is that they may be more effective and less costly to administer.

For the day fine there is the consideration of an offender's ability to pay when imposing the sanction of a financial penalty. The practice is widely used in European countries where the seriousness of the offense is coupled with an ability to pay.

For the community service order there is a requirement that the offender work for the victim or the community. This has been widely used in Great Britain for those who cannot pay a day fine. The hallmark of the British system is its goal of changing the offender's behavior and attitudes, thus helping to rehabilitate him.

Restitution calls for the offender to repay the victim a sum, usually awarded as a result of a civil trial. In the United States the trend in aiding the victim has not favored restitution as much as it has favored state-sponsored compensation plans. However, several states have experimented with restitution programs.

Parker, Ann et al., So You Want to Start a Community Corrections Project: A Primer for Developing a Community Corrections Project (Hackensack, N.J.: National Council on Crime and Delinquency, 1974).

This manual suggest procedures for developing community correctional programs, based on the experiences of the National Council on Crime and Delinquency. The primer includes advice on operating strategies, a checklist of program components, and a description of the operational considerations associated with a residential center. It also provides ideas for staff composition, orientation and training, and program administration.

Schoen, Kenneth F., "PORT" A New Concept of Community-Based Corrections, Federal Probation, Vol. 36, No. 3 (1973), pp. 35-40.

The Probationed Offenders Rehabilitation and Training (PORT) program is a community-based, community-directed residential program for male offenders. The heart of the program is a mixture of group treatment and behavior modification. Most counselors live in the facility. Residents are induced to "earn points" in order to obtain greater degrees of freedom.

Participation in group discussions and changes in lifestyle are the bases upon which points are awarded. Existing community facilities and services are heavily used. The community runs the program through a board of directors.

Solomon, Hassim M., Community Corrections (Boston: Holbrook Press, 1976).

Community corrections is viewed as a reorganization of traditional elements of law enforcement and corrections. The goal of this reorganization is to reintegrate the offender into the community and to enhance community acceptance of responsibility for the crime problem. As such, community corrections is far more than the relocation of incarceration facilities.

Several community-based programs are described and the importance of evaluation and research to build the knowledge base for this "new technology" is emphasized. The roles of other justice components and programs (courts, probation and parole, crime prevention, work release, and furloughs), are viewed in terms of their contributions to community corrections. Separate chapters are devoted to the history of punishment and treatment and related administrative/institutional arrangements. Characteristics of the custodial and therapy-centered institutions are examined and the institutional modifications necessary to the reintegration goal are reviewed.

U.S. Department of Justice, The Residential Center: Corrections in the Community (Washington, D.C.: U.S. Bureau of Prisons, 1973).

This brief but useful booklet reviews planning and operating considerations associated with community correctional centers.

Two principal messages emerge from the discussion. First, a successful residential center depends upon a carefully conceived and administered program. Second, the supporters of residential centers should not assume that an offender will automatically or immediately become a productive, law-abiding, and responsible citizen.

To enhance success, it is suggested that these principles be acknowledged: (1) Residents will need ready access to community resources to aid their organizing an acceptable way of life. (2) Controls to safeguard the community and good judgment in the selection of participants can never be ignored. (3) Residents still under sentence should be treated as escapees if they abscond. And, (4) decisions regarding admission and removal of residents should be vested in the official accountable for center operations.

U.S. President's Commission on Law Enforcement and Administration of Justice, Task Force Report: Corrections (Washington, D.C.: U.S. Government Printing Office, Stock Number PR36.8-L41/C81, 1967).

This report is one of a series prepared by the Commission. Chapters 2, 3, 4, and 6 are devoted, respectively, to intake, probation, special community programs, and parole. Community-based corrections is viewed as the future direction of the corrections field. Appendices document the status of corrections in the United States, suggest correctional standards, and offer projections of population figures for correctional subsystems. Suggested standards are provided for clientele, personnel, organization, and legal frameworks of probation, parole, institutional aspects of corrections.

Eight principal recommendations are accompanied by extensive discussion and references to the research literature. Recommended are: an increase in the use of probation and parole, the use of volunteers and paraprofessional aides where possible, varying caseload size and treatment according to offender needs, and creating community programs. State planning for a system of alternatives to incarceration is endorsed, as are linkages to human resource development systems and community involvement in correctional efforts.

Wilson, Rob, "Replicating LEAA's First Exemplary Program: Plaudits in Des Moines, but Problems in Salt Lake," Corrections Magazine Vol. 2, No. 5 (September 1976), pp. 13-14, 16-24.

This article documents some of the problems encountered in Salt Lake City's effort to replicate the comprehensive community-based model of Des Moines. Political difficulties arose leading to funding problems and a programmatic division between pretrial and post-conviction efforts. The evaluations of the Des Moines project and LEAA's rush to duplicate the effort are criticized.

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